

# Federal Communications Commission



**Fiscal Year 2013 Budget Estimates  
Submitted to Congress  
February 2012**



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## **INTRODUCTION**



# Introduction

The Federal Communications Commission (FCC or Commission) is pleased to present its fiscal year (FY) 2013 budget request. The FCC is requesting a budget of \$346,782,000 to carry out the FCC's functions and meet the expectations of Congress.

The FCC's work centers on communications networks and technology, which can connect our country, increase opportunity and prosperity, spur American competitiveness and global leadership, strengthen our democracy, protect public safety, and in so many ways transform lives for the better. Our mission is to harness the power of broadband Internet to drive economic growth and benefit all Americans.

With each passing day, communications devices and networks become more essential to the fabric of the daily lives of all Americans. They are how we receive news, information, and entertainment; how we stay in touch with our friends and family; how we work at and run our businesses, large and small; how we communicate and coordinate in times of emergency; and how we—and people across the globe—learn about and participate in our government and express our views.

Our country faces a number of significant challenges and opportunities for which communications—and broadband Internet in particular—play an essential role: our economy, education, health care, energy, and public safety, to name a few. If we can harness the power of broadband to tackle these challenges and seize these opportunities, we will make a positive difference in the lives of this and future generations.

In furtherance of these objectives and the FCC's mission, the FY 2013 budget request will be used to support the following Strategic Goals:

**Strategic Goal 1: Connect America**

*Maximize Americans' access to—and the adoption of—affordable fixed and mobile broadband where they live, work, and travel.*

**Strategic Goal 2: Maximize Benefits of Spectrum**

*Maximize the overall benefits of spectrum for the United States.*

**Strategic Goal 3: Protect and Empower Consumers**

*Empower consumers by ensuring that they have the tools and information they need to make informed choices; protect consumers from harm in the communications market.*

**Strategic Goal 4: Promote Innovation, Investment, and America's Global Competitiveness**

*Promote innovation in a manner that improves the nation's ability to compete in the global economy, creating a virtuous circle that results in more investment and in turn enables additional innovation.*

**Strategic Goal 5: Promote Competition**

*Ensure a competitive market for communications and media services to foster innovation, investment, and job creation and to ensure consumers have meaningful choice in affordable services.*

**Strategic Goal 6: Public Safety and Homeland Security**

*Promote the availability of reliable, interoperable, redundant, rapidly restorable critical communications infrastructures that are supportive of all required services.*

**Strategic Goal 7: Advance Key National Purposes**

*Through international and national interagency efforts, advance the use of broadband for key national purposes.*

**Strategic Goal 8: Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the Commission's human, information, and financial resources; by making decisions based on sound data and analyses; and by maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

The FCC's FY 2013 budget submission also includes requests for funding to: (1) support Commission-wide information technology needs through improvements to the FCC's information technology infrastructure and enhancements to the security of its systems; (2) replace obsolete signal analysis equipment with new direction finding and wireless monitoring equipment; (3) establish a framework to ensure nationwide interoperability of the 700 MHz public safety broadband wireless network; (4) provide the FCC lab with special equipment capable of simulating complex broadband systems and creating the conditions necessary for proper testing of new devices; and (5) study and support communications industry participation.

As in prior years, the FCC is submitting its FY 2013 budget request information at the organizational level to show the proposed use of resources. In addition, the FCC's budget request also shows the proposed use of funds by key accounts within each bureau or office. This format provides a detailed view of the FCC's proposed use of budgetary resources. We welcome the budgetary process and stand ready to provide Congress with the information to ensure effective oversight of the FCC.

## **FY 2013 REQUEST**



## SUMMARY OF REQUEST

**The Federal Communications Commission (FCC) is requesting an FY 2013 appropriation of \$346,782,000. We project the FCC will employ 1776 full-time equivalents (FTEs) in FY 2013 from requested resources and the FCC ceiling for FTEs is 1917.**

The FCC will use the FY 2013 funds to carry out its fundamental mission to ensure that the American people have available, at reasonable costs and without discrimination, rapid, efficient, Nation - and world-wide communications services whether by radio, television, wire, satellite, or cable.

	FY 2012		FY 2013		Requested Changes	
	FTE	\$ B/A	FTE	\$ B/A	FTE	\$ B/A
<b>Direct Funding</b>		<b>0</b>		<b>0</b>		
<b>Total Direct Appropriation</b>		<b>0</b>		<b>0</b>		<b>\$0</b>
<b>Budget Authority to use</b>						
Offsetting Collections:		<u>339,844</u>		<u>346,782</u>		
<b>1) Total Regulatory Fees</b>		<b>339,844</b>		<b>346,782</b>		<b>\$6,938</b>
<b>Subtotal Discretionary B/A</b>	<b>Projected to Fund:</b>	<b>1,917</b>	<b>\$339,844</b>	<b>Projected to Fund:</b>	<b>1,917</b>	<b>\$346,782</b>
					<b>0</b>	<b>\$6,938</b>
<b>Authority to spend</b>						
Other Offsetting Collections:						
<b>2) Economy Act/Misc. Other Reimbursables</b>		<b>4,500</b>		<b>6,000</b>		
<b>3) Auction Cost Recovery Reimbursements</b>		<b>85,000</b>		<b>85,000</b>		
<b>Total Gross Proposed Budget Authority</b>		<b>\$429,344</b>		<b>\$437,782</b>		
<b>Other Budget Authority</b>						
Credit Program Account		<u>3,787</u>		<u>3,787</u>		
Universal Service Fund (USF)	<u>0</u>	<u>0</u> <sup>1/</sup>	<u>0</u>	<u>0</u> <sup>1/</sup>	<u>0</u>	
<b>Grand Total Proposed Budget Authority</b>	<b>1,917</b>	<b>\$433,131</b>	<b>1,917</b>	<b>\$441,569</b>	<b>0</b>	

<sup>1/</sup>The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2011, \$10.0M was obligated. The remaining \$11.5M has been carried forward, as follows: \$5.5M is estimated to be used in FY 2012, and \$6M will be used for future fiscal years.

## FY 2013 PROPOSED APPROPRIATION LANGUAGE

For necessary expenses of the Federal Communications Commission, as authorized by law, including uniforms and allowances therefore, as authorized by 5 U.S.C. §§ 5901-5902; not to exceed \$4,000 for official reception and representation expenses; purchase and hire of motor vehicles; special counsel fees; and services as authorized by 5 U.S.C. § 3109, **\$346,782,000**, to remain available until expended: *Provided*, That, **\$346,782,000** of offsetting collections shall be assessed and collected pursuant to section 9 of title 1 of the Communications Act of 1934, shall be retained and used for necessary expenses and shall remain available until expended: *Provided further*, That the sum herein appropriated shall be reduced as such offsetting collections are received during fiscal year **2013** so as to result in a final fiscal year **2013** appropriation estimated at **\$0**: *Provided further*, That any offsetting collections received in excess of **\$346,782,000** in fiscal year **2013** shall not be available for obligation: *Provided further*, That remaining offsetting collections from prior years collected in excess of the amount specified for collection in each such year and otherwise becoming available on October 1, **2012**, shall not be available for obligation: *Provided further*, That (not notwithstanding 47 U.S.C. § 309(j)(8)(b)), proceeds from the use of a competitive bidding system that may be retained and made available for obligation shall not exceed \$85,000,000 for fiscal year **2013**. *Provided further*, That of the amount appropriated under this heading, not less than \$8,750,338 shall be for the salaries and expenses of the Office of Inspector General.

## **Legislative Proposals**

The Administration is proposing legislative changes in the President's FY 2013 Budget that pertain to the FCC and that are designed to improve spectrum management and represent sound economic policy. The proposed legislative changes are included below.

### **National Wireless Initiative**

#### **Extend Auction Authority, Provide Incentive Auction Authority and Auction Domestic Satellite Service Spectrum Licenses**

As part of the American Jobs Act, the Administration has proposed to extend indefinitely the authority of the FCC to auction spectrum licenses, which will expire on September 30, 2012. The Administration also proposes to provide the FCC with authority to conduct voluntary incentive auctions, where current license holders can relinquish spectrum rights and receive a portion of auction proceeds. Finally, the FCC would be allowed to assign licenses for certain satellite services that are predominantly domestic through competitive bidding, as had been done before a 2005 court decision called the practice into question on technical grounds. These proposals are included in the FY 2013 Budget. These steps are expected to generate nearly \$26 billion in revenue over the next ten years.

#### **Prioritize Public Safety use of Additional Spectrum**

To support the creation of a nationwide broadband network for first responders, as proposed in the American Jobs Act, the National Wireless Initiative would repurpose and prioritize spectrum for public safety use that is known as the D block. This spectrum is currently slated for auction under current law. This change would reduce receipts by over \$3 billion.

#### **Spectrum License User Fee**

To promote efficient use of the electromagnetic spectrum, the Administration proposes to provide the FCC with new authority to use other economic mechanisms, such as fees, as a spectrum management tool. The FCC would be authorized to set user fees on unauctioned spectrum licenses, which could be useful in certain instances. Fees would be phased in over time to determine the appropriate application and level for fees. Fee collections are estimated to begin in 2012, and total \$4.8 billion through 2022.

## SUMMARY OF FY 2011 - FY 2013 FULL-TIME EQUIVALENTS (FTEs) AND FUNDING

(Dollars in Thousands (\$000))	FY 11		FY 12		FY 13	
	FTEs	Appropriation Actual	FTEs (Note 2)	Appropriation Estimated	FTEs (Note 2)	Appropriation Request
Chairman and Commissioners.....	30	\$4,886	32	\$5,200	32	\$6,124
Consumer & Governmental Affairs Bureau .....	180	25,625	195	26,146	195	26,114
Enforcement Bureau .....	276	44,776	299	45,224	299	52,088
International Bureau.....	124	21,619	135	22,436	135	20,968
Media Bureau .....	197	29,710	213	30,471	213	31,814
Public Safety & Homeland Security Bureau .....	112	18,121	122	18,041	122	18,964
Wireless Telecommunications Bureau .....	214	15,606	232	16,434	232	15,454
Wireline Competition Bureau .....	157	26,923	170	28,252	170	25,656
Office of Administrative Law Judges .....	3	381	3	376	3	475
Office of Commun. Business Opportunities .....	12	1,801	13	2,340	13	1,533
Office of Engineering & Technology.....	81	12,978	87	14,334	87	14,268
Office of the General Counsel .....	72	13,011	78	13,356	78	14,011
Office of Inspector General (Note 1).....	41	5,694	45	9,750	45	8,750
Office of Legislative Affairs .....	14	2,218	15	2,267	15	1,427
Office of the Managing Director .....	213	101,124	222	97,517	222	100,402
Office of Media Relations .....	14	2,506	15	2,439	15	2,276
Office of Strategic Planning & Policy Analysis....	30	4,373	33	4,434	33	5,837
Office of Workplace Diversity .....	6	812	7	826	7	619
<b>FCC TOTAL</b>	<b>1,776</b>	<b>\$332,162</b>	<b>1,917</b>	<b>\$339,844</b>	<b>1,917</b>	<b>\$346,782</b>

**Note 1:** The Office of Inspector General includes 19 limited term FTEs in FY 2011 Enacted and FY 2012 Enacted Budget for USF audit oversight. The FY 2013 Congressional Requested Budget includes 19 FTEs to replace the 19 limited term FTEs for USF audit oversight.

**Note 2:** The Commission has not requested any additional funding in FY 2012 or FY 2013 to increase FTEs above the FY 2011 level, other than 19 FTEs requested by the Office of Inspector General.

## FY 2011 - FY 2012 Full-Time Equivalent (FTE) Distribution by Goal

	Broadband		Consumers		Competition & Innovation		Continual Improvement		Public Safety & Homeland Sec		International		Total	
	11	12	11	12	11	12	11	12	11	12	11	12	11	12
<b>Commissioners</b>	3	3	6	7	12	13	4	4	4	4	1	1	30	32
<b>Bureaus</b>														
Consumer & Governmental Affairs	15	17	105	111	35	38	21	24	4	5	0	0	180	195
Enforcement	1	1	124	135	70	75	15	19	65	68	1	1	276	299
International	13	14	2	2	70	74	4	5	5	6	30	34	124	135
Media	2	2	1	2	180	193	10	12	4	4	0	0	197	213
Public Safety & Homeland Security	4	4	0	0	14	16	9	10	85	92	0	0	112	122
Wireless Telecomm.	50	55	7	9	136	143	15	18	5	6	1	1	214	232
Wireline Competition	44	48	32	36	74	77	6	7	1	2	0	0	157	170
<b>Subtotal Bureaus</b>	<b>129</b>	<b>141</b>	<b>271</b>	<b>295</b>	<b>579</b>	<b>616</b>	<b>80</b>	<b>95</b>	<b>169</b>	<b>183</b>	<b>32</b>	<b>37</b>	<b>1,260</b>	<b>1,367</b>
<b>Offices</b>														
Admin. Law Judges	0	0	3	3	0	0	0	0	0	0	0	0	3	3
Comm. Business Ops.	0	0	2	2	10	11	0	0	0	0	0	0	12	13
Engineering and Tech.	6	6	0	0	70	75	4	5	1	1	0	0	81	87
General Counsel	18	19	5	5	39	43	6	7	4	4	0	0	72	78
Inspector General /1	6	7	14	14	5	5	15	17	1	2	0	0	41	45
Legislative Affairs	10	10	1	2	3	3	0	0	0	0	0	0	14	15
Managing Director	6	7	32	33	35	36	131	135	9	10	1	1	213	222
Media Relations	0	0	0	0	0	0	13	14	1	1	0	0	14	15
Strategic Planning/ Policy Analysis	10	11	1	2	16	17	3	3	0	0	0	0	30	33
Workplace Diversity	0	0	0	0	0	0	6	7	0	0	0	0	6	7
<b>Subtotal Offices</b>	<b>56</b>	<b>60</b>	<b>58</b>	<b>61</b>	<b>178</b>	<b>190</b>	<b>178</b>	<b>189</b>	<b>16</b>	<b>17</b>	<b>1</b>	<b>1</b>	<b>486</b>	<b>519</b>
<b>Totals /2</b>	<b>188</b>	<b>204</b>	<b>335</b>	<b>363</b>	<b>769</b>	<b>819</b>	<b>262</b>	<b>287</b>	<b>189</b>	<b>205</b>	<b>34</b>	<b>39</b>	<b>1,776</b>	<b>1,917</b>

**Note 1:** The Office of Inspector General includes 19 limited term FTEs in the FY 2011 Congressional Budget. The FY 2012 Enacted Budget includes 19 FTEs to replace the 19 limited term FTEs.

**Note 2:** The Commission has not requested any additional funding in FY 2012 or FY 2013 to increase FTEs above the FY 2011 level, other than 19 FTE requested by the Office of Inspector General.

## FY 2013 Full-Time Equivalent (FTE) Distribution by Goal

	Connect America	Maximize Benefits of Spectrum	Protect & Empower Consumers	America's Global Competitiveness	Promote Competition	Public Safety & Homeland Security	Advance Key National Purposes	Operational Excellence	Total
	13	13	13	13	13	13	13	13	13
<b>Commissioners</b>	2	2	7	2	9	4	3	3	32
<b>Bureaus</b>									
Consumer & Governmental Affairs	12	10	111	4	27	5	9	18	195
Enforcement	1	12	135	9	53	61	15	14	299
International	10	5	2	41	52	5	16	4	135
Media	1	4	2	19	135	4	39	9	213
Public Safety & Homeland Security	3	13	0	2	11	83	4	8	122
Wireless Telecomm.	39	16	9	15	100	5	34	14	232
Wireline Competition	34	12	36	8	54	2	20	5	170
<b>Subtotal Bureaus</b>	<b>99</b>	<b>70</b>	<b>295</b>	<b>98</b>	<b>431</b>	<b>165</b>	<b>137</b>	<b>71</b>	<b>1,367</b>
<b>Offices</b>									
Admin. Law Judges	0	0	3	0	0	0	0	0	3
Comm. Business Ops.	0	0	2	1	8	0	2	0	13
Engineering and Tech.	4	3	0	8	53	1	16	4	87
General Counsel	13	6	5	4	30	4	11	5	78
Inspector General /1	5	6	14	1	4	2	2	13	45
Legislative Affairs	7	2	2	0	2	0	2	0	15
Managing Director	5	36	33	5	25	9	8	101	222
Media Relations	0	4	0	0	0	1	0	11	15
Strategic Planning/ Policy Analysis	8	3	2	2	12	0	5	2	33
Workplace Diversity	0	2	0	0	0	0	0	5	7
<b>Subtotal Offices</b>	<b>42</b>	<b>61</b>	<b>61</b>	<b>20</b>	<b>133</b>	<b>16</b>	<b>44</b>	<b>141</b>	<b>519</b>
<b>Totals /2</b>	<b>143</b>	<b>133</b>	<b>363</b>	<b>121</b>	<b>573</b>	<b>185</b>	<b>184</b>	<b>215</b>	<b>1,917</b>

**Note 1:** The FY 2013 Requested Budget includes 19 FTEs to replace the 19 limited term FTEs.

**Note 2:** The Commission has not requested any additional funding in FY 2012 or FY 2013 to increase FTEs above the FY 2011 level, other than 19 FTE requested by the Office of Inspector General.

## SUMMARY OF CHANGES

(\$ in thousands)

	<u>FY 2012 Enacted</u>	<u>FY 2013 Cong. Request</u>	<u>Net Change From FY 2012 Enacted</u>
Direct BA	\$0	\$0	\$0
Offsetting Collections	<u>\$339,844</u>	<u>\$346,782</u>	<u>\$6,938</u>
Spending Authority	\$339,844	\$346,782	\$6,938
 Full-time Equivalents <sup>1/</sup>	 1,917	 1,917	 0

### Explanation of Changes

	<u>Amount</u>
<b>Inflationary Increases to Base:</b>	
Salary Increases - Pay Raise (0.5%)	\$913
Non Salary Increases (1.8%)	<u>\$1,573</u>
<b>Subtotal</b>	<b><u>\$2,486</u></b>

### Adjustments to the Base:

FY 2012 One-Time Cost	(\$4,050)
Office of Inspector General (Support 19 OIG Term FTEs to Permanent FTEs)	\$2,629
Decreases to the Base <sup>2/</sup>	(\$6,128)
Increase to the Base to Purchase Radio Direction Finding Vehicles	\$1,100
Increase to the Base to Office of Native Affairs and Policy	<u>\$300</u>
<b>Subtotal</b>	<b><u>(\$6,149)</u></b>

### Programmatic Increases:

Agile Cloud Provisioning and Management	\$2,750
Data Center Consolidation	\$2,500
Cloud Security Enhancements	\$850
Direction Finding and Wireless Monitoring Equipment	\$2,500
Interoperability Assurance and Management	\$1,000
Technical Equipment for the FCC's Laboratory	\$500
Communications Industry Participation and Impact Study	<u>\$500</u>
<b>Subtotal</b>	<b><u>\$10,600</u></b>

<b>Total Change to Offsetting Collections:</b>	<b><u>\$6,938</u></b>
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**1/** The FY 2012 Congressional Enacted Budget includes 19 FTEs to replace the 19 limited term FTEs, which is again requested in the FY 2013 Congressional Requested Budget.

**2/** The \$6.1M reflects a reduction of rent, contracts and other expenses.

## **Narrative Explanation of Increases**

<b>Inflationary Increases to Base</b>	<b>\$2,486,455</b>
<p>1. <u>Personnel Compensation and Benefits</u>. The requested \$913K provides funds to cover the cost of the FY 2013 pay raise (.50%) for 75% of the fiscal year and pay increases as well as health benefit increases.</p> <p>2. <u>Non-salary increases</u>. The requested \$1.6M provides expected inflationary increases for space rentals (GSA and non-GSA facilities), phones, utilities, printing and reproduction services, contractual services, and supplies. These increases are developed in accordance with OMB guidelines for projected inflationary costs (1.8%).</p>	

Inflationary increases would provide current services level to recruit staff to continue the Commission's ability to provide baseline capabilities crucial to carrying out its mission.

<b>Other Increases to Base</b>	<b>\$4,029,252</b>
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1. Additional Staffing Request (19 FTEs): \$2,629,252

The Office of Inspector General (OIG) is requesting an additional 19 FTE positions in FY 2013 to replace the 19 term FTEs acquired with the transfer of \$21.48M from the Universal Service Fund in FY 2008. The terms expire in FY 2013, and the loss of these term FTEs would reduce the OIG staffing level far below mission needs. This request includes 10 Auditors; 6 Investigative Attorneys; 1 Resource Manager; 1 Administration Officer; and 1 Information Technology Specialist. Without this additional staffing the OIG would not be able to provide the level of service necessary to meet all audit and investigation requirements, and would be limited to completing only the most prevailing audits and investigations.

2. Radio Direction Finding Vehicles: \$1,100,000

The FCC is requesting that eight new vehicles and mobile direction finding equipment be included into the FY 2013 base. The equipment is very specialized and includes industrial computers, touch screen monitors, custom designed antennas, FCC-designed electronics, visual spectrum displays, and radio receivers. Using the vehicle as a technical platform, the specialized equipment provides our field agents the central tools needed to locate and resolve radio interference and unauthorized transmissions, even in remote rural areas, and is important to resolving interference problems that have an impact on consumers and governmental users, particularly public safety entities such as Immigration and Customs Enforcement and the United States Coast Guard that routinely engage the Enforcement Bureau to assist with interference to their communications systems. Further, these are the primary technical tools the field uses to locate unlicensed and pirate operators and assist law enforcement. These vehicles will replace existing ones that will be past their practical lifetime in FY 2013.

3. Office of Native Affairs and Policy (ONAP): \$300,000

This request supports consultations, meetings, events, and contractual/operating expenses for the Office of Native Affairs and Policy (ONAP). It is important to note that this budget is not just for ONAP's mission; it advances an agenda for the entire Commission's Tribal consultation efforts. Included is participation at meetings by Commission staff beyond the ONAP staff (e.g., the Chairman,

Commissioners, and staff from Bureaus and Offices). With this, there is an agency-wide opportunity to develop an unprecedented Native Nations consultation program aimed at closing the digital divide on Tribal lands. This budget reflects both the level of engagement needed for this transformative mission and the level requested by the entire Tribal and Native community. Funding will provide a wide range of consultation activities that ONAP would organize, staff, and execute, often with the participation of other Commission representatives and in rural and remote locations throughout Tribal lands.

#### **Decreases to Base**

1. **Decrease One-Time Cost Provided by P.L. 112-74 \$4,050,000:** The FCC has reduced the FY 2013 budget request by \$4,050,000. This amount was an increase to FY 2011 in the FY 2012 enacted budget. The increase was provided in P.L. 112-74.
2. **Decreases to Base \$6,127,707:** The FCC has taken steps to meet requirements to eliminate low-priority programs which would result in a 1.8% reduction of the FY 2012 enacted budget.

#### **New Programmatic Performance Initiatives**

##### **1. Commission-wide Information Technology Initiatives: \$6,100,000**

*Agile Cloud Provisioning and Management (\$2.75M):* FCC is improving its cloud and hosted infrastructure with a solution that allows virtual environments to be moved between internal and external private clouds as well as external community, government, and public clouds with minimum cost and operational impact. This system will reduce the barriers and cost of an existing host or cloud provider, and would allow the FCC to seamlessly move services to multiple cloud providers while maintaining a single and transparent presence for both public citizens and industry participants.

*Data Center Consolidation (\$2.5M):* In keeping with the OMB directives to consolidate centers and virtualize systems as much as possible, the FCC has an opportunity to combine two data centers at FCC DC HQ and elements from our redundant site in Gettysburg, Pennsylvania. This will allow the FCC to reduce the life cycle cost and provide flexibility for COOP. We will also be able to recognize economies of scale with our backup and storage systems, in addition to our energy and network savings.

*Cloud Security Enhancements (\$850K):* The FCC must maintain a solid security model for the protection of its web sites, data, and networks. Following the guidance of OMB and the Federal CIO, the FCC is moving to cloud-based systems and services. In order to maintain the same level of security protection, the security implementation needs to be retooled for this new threat model. The FCC will extend and enhance its security by deploying security tools to the cloud service provider's location thereby providing the same or better assurance level for the external shared environments as the internal environments.

## **2. Bureaus & Offices: \$4,500,000**

*Direction Finding and Wireless Monitoring Equipment (\$2.5M):* The Enforcement Bureau's field offices are responsible for interference resolution and enforcement of technical rules, particularly in the areas of homeland security and public safety. Resolution of harmful interference and measurement of emerging technology systems has significantly increased in complexity. Moreover, as more government and critical infrastructure operations use wireless technology, the efficient management of spectrum use has become more necessary. The increased complexity and use requires replacement of obsolescent equipment that has outlived its utility, is no longer repairable and is not capable of making the necessary signal analysis measurements. Field offices have obtained the highest priority equipment using allocated equipment funds, however, those funds have not compensated for the continued aging equipment, equipment that is no longer repairable and the fast-changing emerging technologies.

*Interoperability Assurance and Management (\$1M):* In order for the Commission to establish a technical and operational framework that will ensure nationwide operability and interoperability in deployment and operation of the 700 MHz public safety broadband wireless network, funds in the amount of \$1 million are required for technical and engineering consulting services, hardware, and software needs to augment the FCC's staff and computer resources.

*Technical Equipment for FCC's Laboratory (\$500K):* The Commission, in its efforts to implement the broadband plan recommendations to make new wireless spectrum available for broadband systems, has been encouraging industry to invest in innovative and sophisticated technologies, such as dynamic frequency allocation and sensing. These new technologies pose a challenge to the Commission because it does not possess the complex test equipment needed to ensure compliance with the Commission's technical rules. Specifically, special test equipment capable of simulating the variety of broadband systems' operating conditions needs to be built so that this new equipment can be properly tested. The Laboratory staff is working with the test and measurement industry to develop such equipment that would meet the rigorous demands and requirements necessary for compliance testing. We expect that such equipment would be available during FY 2013 to support the Commission's work program.

*Communications Industry Participation and Impact Study (\$500K):* This request will support FCC research and analysis to determine whether there is a link between the identity and/or characteristics of an owner and employment and service (including important content) to all Americans, and to determine the continued impact of past or present discrimination based on immutable or other characteristics on participation in FCC regulated and related industries. The funds also will support consulting services to gather data and study communication industry participation and impact.

## **PERFORMANCE PLAN**



## FCC PERFORMANCE PLAN

### OVERVIEW: FCC STRATEGIC GOALS - 2012 THROUGH 2016

As specified in section one of the Communications Act of 1934, as amended, the FCC's mission is to "make available, so far as possible, to all the people of the United States, without discrimination on the basis of race, color, religion, national origin, or sex, rapid, efficient, Nation-wide, and world-wide wire and radio communication service with adequate facilities at reasonable charges."<sup>1</sup> In addition, section one provides that the Commission was created "for the purpose of the national defense" and "for the purpose of promoting safety of life and property through the use of wire and radio communications."<sup>2</sup> The FCC issued a new Strategic Plan for FY 2012 - 2016. The strategic goals and performance goals shown below reflect the new Plan.

#### **Strategic Goal 1: Connect America**

*Maximize Americans' access to – and the adoption of—affordable fixed and mobile broadband where they live, work, and travel.*

#### **Strategic Goal 2: Maximize Benefits of Spectrum**

*Maximize the overall benefits of spectrum for the United States.*

#### **Strategic Goal 3: Protect and Empower Consumers**

*Empower consumers by ensuring that they have the tools and information they need to make informed choices; protect consumers from harm in the communications market.*

#### **Strategic Goal 4: Promote Innovation, Investment, and America's Global Competitiveness**

*Promote innovation in a manner that improves the nation's ability to compete in the global economy, creating a virtuous circle that results in more investment and in turn enables additional innovation.*

#### **Strategic Goal 5: Promote Competition**

*Ensure a competitive market for communications and media services to foster innovation, investment, and job creation and to ensure consumers have meaningful choice in affordable services.*

#### **Strategic Goal 6: Public Safety and Homeland Security**

*Promote the availability of reliable, interoperable, redundant, rapidly restorable critical communications infrastructures that are supportive of all required services.*

#### **Strategic Goal 7: Advance Key National Purposes**

*Through international and national interagency efforts, advance the use of broadband for key national purposes.*

#### **Strategic Goal 8: Operational Excellence**

*Make the FCC a model for excellence in government by effectively managing the Commission's human, information, and financial resources; by making decisions based on sound data and analyses; and by maintaining a commitment to transparent and responsive processes that encourage public involvement and best serve the public interest.*

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<sup>1</sup> 47 U.S.C. § 151.

<sup>2</sup> *Id.*

## WHAT THE FCC COMMITS TO ACCOMPLISH IN FY 2013

In carrying out its strategic goals, the FCC has identified the following outcomes it will strive to accomplish in FY 2013. Each outcome is stated as a performance goal and each of the 27 outcome-focused performance goals has associated performance targets.

When reviewing the information on the following pages, the reader should note that the FCC, through its regulatory activities, influences numerous economic and social outcomes. However, since consumer choice, technological innovation, economic conditions, and international negotiations can all have an effect on outcomes, the FCC's approach to connecting its strategic goals to its performance measures includes only those factors within the FCC's control.

### ***CONNECT AMERICA***

#### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 1.1:*** Maximize broadband adoption by promoting affordability and removing other barriers to adoption by all Americans, including those with low incomes and disabilities.

***Targets with Subordinate Measures:***

- (1) Support and facilitate the development, deployment, and adoption of broadband services across multiple platforms.
  - Carry out rulemakings, spectrum reallocation, and license modifications as needed to ensure that the growing demand for wireless broadband services, including satellite-delivered broadband, is met.
  - Expeditedly review and issue spectrum licenses to qualified auction winners, promoting the expanded deployment of broadband services.
  - Take concrete steps to increase broadband availability and innovative uses of broadband in addressing critical national priorities.

***Outcome-oriented Performance Goal 1.2:*** Maximize availability of fixed and mobile broadband to all Americans and community anchor institutions, including in rural and insular areas and Tribal lands, while ensuring that universal service programs are efficient, effective, and impose no greater burden on consumers and businesses than necessary.

***Targets with Subordinate Measures:***

- (1) Work in partnership with state, local, and tribal governments, consumer groups and industry to promote broadband availability to all Americans, including consumers in rural and high cost areas and individuals with disabilities.
  - In coordination with government, consumer and industry groups, conduct outreach activities to educate the public concerning the Commission's broadband initiatives, including those promoting universal service.
  - In coordination with state, local, and tribal governments, and consumer and industry groups, develop and implement consumer education and outreach activities regarding broadband.
  - Work collaboratively across FCC Offices and Bureaus to identify and address Tribal and Native Community communications issues, including barriers to entry that operate against Tribal broadband deployment and adoption.
  - Coordinate with other Federal Government agencies on rules and policies designed to achieve access by people with disabilities to communications and information technologies.
- (2) Continue reform of the universal service program to reflect technological developments and changes in the market.
  - Make disbursements from the Connect America Fund.

- Revise the universal service contribution methodology when necessary to ensure that the USF remains sustainable over time.

(3) Promote and advance universal service by increasing the number of USF enforcement actions.

- Promote and advance universal service by reviewing 100% of referrals from the Commission's Office of Inspector General and taking enforcement action where appropriate in cases of non-compliance.
- Report at least annually on USF enforcement actions.

***Outcome-oriented Performance Goal 1.3:*** Enable the private sector to accelerate the deployment and expansion of broadband networks by minimizing regulatory and other barriers to broadband build out.

***Targets with Subordinate Measures:***

- (1) Employ strategies to encourage investment in networks and services by existing providers, while encouraging participation in broadband markets by new and non-traditional participants.
  - Initiate or adopt rulemaking actions that provide opportunities for innovations in broadband services.
  - Coordinate with industry and academia to identify research opportunities and impediments towards broadband deployment.
  - Review and revise, as necessary, the Commission's rules and policies to promote broadband investment and innovation.
- (2) Maintain efficient licensing and facilities siting processes to encourage and facilitate rapid deployment of broadband infrastructure.
  - Process 90% of routine license applications for wireless broadband services within 90 days of receipt.
  - Resolve in a timely fashion all communications tower and antenna siting issues that impede the deployment of broadband infrastructure and services.
  - Work with stakeholders to expand the reach and reduce the cost of broadband deployment by improving government policies for access to rights of way and wireless facilities siting.
- (3) Vigorously enforce and defend against legal challenges to policies and regulations that promote the deployment and adoption of all broadband technologies.
  - Promote the availability of broadband to all Americans by taking action, consistent with applicable statutes of limitation and other deadlines, on all consumer inquiries and complaints received regarding broadband availability.

***Outcome-oriented Performance Goal 1.4:*** Measure and monitor the country's progress on broadband.

***Targets with Subordinate Measures:***

- (1) Measure and report on progress towards the goals of ensuring that broadband is being deployed to all Americans in a reasonable and timely fashion.
  - Monitor and, as appropriate, revise metrics for determining the extent to which broadband is being deployed in a reasonable and timely fashion.
  - Monitor the availability and adoption of broadband services by consumers, businesses and other entities.
  - Educate consumers about delivered speeds and performance of broadband networks and make data publicly available to facilitate informed competitive service choices.

## **Means and Strategies for Accomplishing Performance**

<b>CONNECT AMERICA</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission's rules.</li> <li>▪ Industry analysis</li> <li>▪ Data collection</li> <li>▪ Technology analysis</li> <li>▪ Licensing</li> <li>▪ Auctions</li> <li>▪ Stakeholder outreach</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of relevant law</li> <li>▪ Ability to analyze competition in broadband markets</li> <li>▪ Assessing likely scenarios for convergence of varied technologies</li> <li>▪ Assessing technical feasibility of emerging technologies</li> <li>▪ Understanding of current technologies and their respective markets</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Consolidated Licensing System (CLS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Form 477 Data Collection System</li> <li>▪ Tower Construction Notification System</li> <li>▪ OFACS (coordination database)</li> <li>▪ FCC Auction System</li> </ul>

## ***MAXIMIZE BENEFITS OF SPECTRUM***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 2.1:*** Develop and implement flexible, market-oriented spectrum allocation and assignment policies that promote innovation, investment, jobs and consumer benefits, including ensuring meaningful availability of unlicensed spectrum.

***Targets with Subordinate Measures:***

- (1) Pursue spectrum allocation and license assignment policies to achieve the effective and efficient use of spectrum.
  - Conduct auctions of licenses for electromagnetic spectrum as directed through statutory mandate or Commission decision.
  - Complete transfer of all eligible auctions revenues to the U.S. Treasury within 30 days of license grant.
  - Provide opportunities for innovative and experimental use of spectrum.
- (2) Conduct effective and timely spectrum licensing and equipment authorization activities.
  - Process 95% of routine spectrum license applications within 90 days of receipt.

***Outcome-oriented Performance Goal 2.2:*** Develop and implement policies that support highly efficient use of spectrum.

***Targets with Subordinate Measures:***

- (1) Facilitate the deployment of new or existing services and devices that use spectrum efficiently and effectively now and for the future.
  - Review and revise, as necessary, the Commission's spectrum allocation, auctions, licensing and technical rules and establish policies that promote the development of new technologies and the provision of new or improved terrestrial and satellite communication services.
  - Develop Commission policies and adopt items that promulgate policies designed to increase consumers' competitive choices for broadband, domestic and international wireline and wireless services, and multichannel video programming equipment and services.
  - Review, process and resolve in a timely manner applications for transfer of control and assignment of licenses, as well as applications to discontinue service.
  - Analyze space station licensees' compliance with system implementation milestones and take action, where necessary, to make unused spectrum available to new applications.

***Outcome-oriented Performance Goal 2.3:*** Serve as a resource domestically and internationally on issues involving use and management of our spectrum resources.

***Targets with Subordinate Measures:***

- (1) Actively participate in bilateral and multilateral global discussions and debate on issues in coordination with other U.S. governmental agencies related to competition and universal access, including access for people with disabilities.
  - Participate in meetings and conferences with foreign regulators to foster competition in foreign markets and promote universal service policies.
  - Meet with NTIA and the Department of State as necessary to coordinate U.S. positions related to competition and universal access, including access for people with disabilities.
- (2) Maintain an efficient licensing process for international Section 214 authorizations and cable landing licenses.
  - Process 90% of streamlined Section 214 applications within 90 days; process 90% of non-streamlined Section 214 applications within 292 days, except those applications pending over 292 days as a result of Executive Branch national security review.
  - Process 90% of streamlined Submarine Cable Landing License applications within 180 days; process 90% of non-streamlined Submarine Cable Landing License applications within 292

days, except those pending over 292 days as a result of Executive Branch national security review.

- (3) Encourage technological innovation in satellite-based technologies and the efficient use of spectrum.
  - Continue to streamline and reform Part 25 rules and requirements to facilitate the rapid deployment of satellite-based services and encourage technological innovation.
  - Process earth station application within an average of 112 days.
  - Process space station applications within an average of 270 days.
- (4) Reform Commission policies and processes for reviewing foreign ownership in U.S. licensees:
  - Carry out rulemaking proposing reforms.
- (5) Coordinate with appropriate executive branch agencies international applications and petitions from applicants having foreign ownership.
  - Coordinate applications and petitions on a bi-weekly basis.

### **Means and Strategies for Accomplishing Performance**

<b>MAXIMIZE BENEFITS OF SPECTRUM</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Spectrum auctions</li> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission's rules.</li> <li>▪ Industry analysis</li> <li>▪ Data collections</li> <li>▪ Licensing</li> <li>▪ Engineering analysis</li> <li>▪ Inter-governmental and international negotiations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ability to plan and conduct auctions for limited spectrum resources</li> <li>▪ Understanding economic and technology aspects of the telecommunications industry</li> <li>▪ Perspective and innovative thinking in order to encourage the best use of spectrum while maintaining appropriate protections for public safety and national security</li> <li>▪ Auditing, investigating and enforcing</li> <li>▪ Forecasting changing needs of and expectations toward underserved groups</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ FCC Auction System</li> <li>▪ International Bureau Filing System</li> <li>▪ Experimental Licensing Filing System</li> <li>▪ Consolidated Licensing System (CLS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ KDB (OET Knowledge Data Base)</li> </ul>

## ***PROTECT AND EMPOWER CONSUMERS***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 3.1:*** Promote transparency and disclosure.

#### ***Targets with Subordinate Measures:***

- (1) Ensure that FCC policy and rulemaking documents clearly explain the basis for decisions to Congress, key constituencies, and the public.
  - Decision documents will cite relevant facts and data, and sources for that information, to convey the basis for decisions.
- (2) Support and encourage policies and regulations to ensure that consumers receive consistent treatment and protections across technologies and platforms, and across FCC bureaus and offices.
  - Review and recommend revisions, as necessary, to the Commission's enforcement and consumer protection rules.
  - Utilize advisory committees, task forces, and intergovernmental groups to foster communications and coordination with industry representatives, consumer groups, and representatives of other governmental entities.
  - Review and revise, as necessary, FCC consumer publications.
  - Foster collaborative efforts across all FCC bureaus and offices to promote consistent treatment and protections across technologies and platforms in Commission proceedings.
- (3) Evaluate and report on consumer complaints regarding communications services.
  - Make information publicly available about the top subject areas for consumer inquiries and complaints filed with the Commission, including the number and type of consumer complaints.
- (4) Promote an environment in which consumers have a positive, efficient and effective experience with the Commission's call centers and website.
  - Review call center and website trends and make enhancements and improvements, as necessary, to increase consumer awareness of the rights of consumers in the competitive communications marketplace.
- (5) Ensure that individuals and organizations have maximum opportunities for civic engagement to provide information, data and opinions concerning FCC matters across a wide array of information gathering platforms.
  - Further enhance the FCC's web presence and social media environment to provide information and involve more entities in the decision making process.
  - Use workshops, focus groups and other means to solicit input to improve public participation.
  - Test and, where appropriate, implement new applications to enhance the public's involvement and experience with engaging the FCC.

***Outcome-oriented Performance Goal 3.2:*** Act swiftly and consistently in the use of enforcement authority to protect consumers.

#### ***Targets with Subordinate Measures:***

- (1) Enforce and defend against legal challenges to the Commission's policies that promote the competitive provisions of the Communications Act of 1934, as amended, and the Commission's rules.
  - Ensure that consumers realize the benefits of competition by compiling a complete record and working toward resolution of all formal complaints within one year.
  - Promote competition in the communications industry by taking action consistent with applicable statutes of limitation and other deadlines on all complaints filed with the FCC alleging violations of the competition provisions of the Act and the Commission's rules.
- (2) Ensure, through enforcement action and litigation where necessary, that consumers are protected from anticompetitive practices.
  - Maximize compliance with the Commission's Customer Proprietary Network Information (CPNI) rules by reviewing annual CPNI Compliance Filings and taking enforcement action

where appropriate, consistent with applicable statutes of limitation and other deadlines, against (1) those carriers' filings identified as non-compliant with the Communications Act or the Commission's rules, and (2) those carriers that did not file annual CPNI Compliance Filings.

- Deter business practices that are in violation of the Telephone Consumer Protection Act through enforcement of the Commission's rules addressing Do-Not-Call telephone solicitation requirements and restrictions on the use of pre-recorded advertising messages, as well as provisions governing telemarketing and the use of calling equipment.
- Ensure continued viability of telecommunications relay services for persons with disabilities by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all allegations and complaints referred to the Enforcement Bureau.
- Maximize compliance with the Commission's rules governing the North American Numbering Plan Administration and Local Number Portability Administration.
- Deter and penalize unjust and unreasonable practices that harm consumers, such as "cramming," through enforcement of the Communication Act's prohibition of these practices.
- Take appropriate actions to enforce Commission policy in response to anti-competitive conduct in international markets, including disruption of traffic by foreign carriers.

(3) Engage persons with disabilities through outreach and education initiatives to facilitate informed choice in the telecommunications and media marketplace.

- Develop Commission rules and policies to ensure that new technologies and services are accessible to persons with disabilities.
- Continue to promote broad awareness of FCC's accessibility rules and forfeitures associated with violations of these rules to increase business and consumer awareness of the rights of consumers and need to ensure that persons with disabilities have access to a variety of video programming, and communications products and services.
- Monitor and maintain clearinghouse database of accessible products and services.

(4) Ensure that the provisions of Section 716 of the Communications Act covering advance communication services are effectively applied to the broad range of evolving communication services.

- Ensure that persons with disabilities and other covered populations have access to these critical communication services.

***Outcome-oriented Performance Goal 3.3:*** Develop and maintain policies that encourage variety in media programming sources and services for consumers.

***Targets with Subordinate Measures:***

- (1) Support the development of and defend against legal challenge to media rules and policies that comply with judicial directives and statutory requirements.
  - Develop appropriate rules, policies, and licensing procedures for the effective provision of broadcast television and radio as well as for cable and satellite television service.
  - Promote competition, diversity and localism in Commission rulemaking items concerning media ownership and the distribution of video programming.
  - Review transactions proposing to transfer the control of Commission licenses to ensure that on balance, the public interest will be served.
  - Work collaboratively across FCC Offices and Bureaus to examine and assess video description issues and requirements, particularly with respect to impact on persons with disabilities.
- (1) Timely resolve and defend against legal challenge to adjudicatory proceedings involving cable television, broadcast television and radio, and satellite services.
  - Deter violations of sponsorship requirements and payola violations by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all new complaints alleging violations of the sponsorship identification or payola provisions.
  - Ensure competition and diversity in the market for video programming through timely resolution of adjudications regarding the agreements and related practices between MVPDs and video programming providers.

(2) Ensure that broadcasters and cable operators comply with requirements of the Children's Television Act and the Commission's rules regarding children's educational television.

- Ensure compliance with core programming guidelines and commercial time limitations by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all new complaints alleging violations.

### **Means and Strategies for Accomplishing Performance**

<b>PROTECT AND EMPOWER CONSUMERS</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission's rules.</li> <li>▪ Industry monitoring and analysis</li> <li>▪ Consumer protection</li> <li>▪ Interactions with state and international regulators.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of various communications marketplaces</li> <li>▪ Consumer and public education</li> <li>▪ Understanding of economic and legal impacts of converging media technologies</li> <li>▪ Ability to analyze economic impact of industry performance</li> <li>▪ Auditing, investigating and enforcing</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Consolidated Licensing System (CLS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Form 655 Hearing Aid Compatibility Reporting System</li> </ul>

# **PROMOTE INNOVATION, INVESTMENT, AND AMERICA'S GLOBAL COMPETITIVENESS**

## **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 4.1:*** Foster international engagement and cooperation on communications policy issues, including promoting the broadband innovation initiative and free flow of data across borders.

### ***Targets with Subordinate Measures:***

- (1) Help promote global broadband infrastructure deployment and adoption.
  - Work domestically and internationally to identify possible additional spectrum bands for globally harmonized allocations for mobile broadband.
  - Collaborate with U.S. government agencies and international organizations on global initiatives to highlight innovative broadband deployment and adoption policies, such as ensuring broadband networks are able to be incorporated into new infrastructure projects.
- (2) Support the U.S. government's efforts to facilitate the free flow of data across borders.
  - Work with State, Commerce and the Office of the U.S. Trade Representative to facilitate the interoperability of national/regional networks.
  - Collaborate with other nations on developing ways to facilitate the free flow of data across borders.

***Outcome-oriented Performance Goal 4.2:*** Advocate U.S. spectrum interests in the international arena.

### ***Targets with Subordinate Measures:***

- (1) Secure international spectrum allocations that allow for new services and protect incumbent services from interference.
  - As appropriate, coordinate and implement action items as adopted at the World Radio Conference (WRC) 2012.
  - Prepare and coordinate proposals with other federal government agencies in preparation for the World Conference on International Telecommunications (WCIT-12) to be held in December 2012 and the World Telecommunications Standardization Assembly (WTSA) to be held in November 2012.
  - Prepare materials and participate in international meetings to secure spectrum and satellite positions as well as minimize interference issues between services through advocacy of U.S. positions.
- (2) Secure and enforce bi-lateral spectrum treaties and agreements working with appropriate U.S. and international government agencies.
  - Prepare detailed technical analyses and effectively represent the U.S. in bi-lateral negotiations and coordination activities.
  - Perform all technical analysis as necessary to ensure compliance with applicable provisions of bilateral and International Telecommunication Union (ITU) agreements and treaties.
- (3) Secure treaty on international telecommunications regulation that provides flexibility for the Internet and other new services.
  - Prepare and coordinate proposals with other federal government agencies in preparation for the World Conference on International Telecommunications (WCIT-12) to be held in December 2012 and the World Telecommunications Standardization Assembly (WTSA) to be held in November 2012.

***Outcome-oriented Performance Goal 4.3:*** Preserve the free and open Internet as a platform for economic growth, innovation, job-creation, and global competitiveness.

### ***Target with Subordinate Measures:***

(1) Adopt, enforce and defend against legal challenge to policies and rules that protect Internet freedom and openness and promote robust innovation and investment throughout the broadband ecosystem.

- Ensure that consumers and innovators have clear and complete information to enable them to make informed choices in choosing networks, devices and services.
- Ensure that consumers and innovators can send and receive lawful traffic and use the devices of their choice.
- Ensure that consumers and innovators are protected from unreasonable discrimination.

### **Means and Strategies for Accomplishing Performance**

<b>PROMOTE INNOVATION, INVESTMENT, AND AMERICA'S GLOBAL COMPETITIVENESS</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission's rules.</li> <li>▪ Industry monitoring and analysis</li> <li>▪ Data collection and analysis</li> <li>▪ Licensing</li> <li>▪ Technology analysis</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of various communications marketplaces</li> <li>▪ Understanding of economic and legal impacts of converging media technologies</li> <li>▪ Ability to analyze economic impact of industry behavior</li> <li>▪ Understanding technological advancement and establishing an environment that promotes it</li> <li>▪ Auditing, investigating and enforcing</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Consolidated Licensing System (CLS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Consumer Information Management System (CIMS)</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Equipment Authorization System</li> <li>▪ Experimental Licensing System</li> <li>▪ OFACS (coordination database)</li> <li>▪ KDB (OET Knowledge Data Base)</li> </ul>

## ***PROMOTE COMPETITION***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 5.1:*** Ensure effective policies are in place to promote and protect competition for the benefit of consumers, including appropriate interconnection policies for communications networks.

#### ***Targets with Subordinate Measures:***

- (1) Promote competitive choices for wireless, satellite, and wireline voice and data service providers, for domestic and international services and for multichannel video programming.
  - Promote competitive choices by adopting policies that lower relative prices for domestic and international wireline and wireless services.
  - Develop Commission policies and adopt items that promulgate policies designed to increase consumer's competitive choices for broadband voice and data, and multichannel video programming equipment and services.
  - Review all carrier tariff filings for compliance with Commission rules and statutory requirements.
- (2) Evaluate and report on the competitive environment for communications services.
  - Develop and publish reports, by deadlines established in legislation or Commission policy, that provide information concerning competition in the telecommunications, broadcast, cable, commercial wireless, and satellite industries.

***Outcome-oriented Performance Goal 5.2:*** Promote pro-competitive and universal access policies worldwide.

#### ***Targets with Subordinate Measures:***

- (1) Actively participate in bilateral and multilateral global discussions and debate on issues in coordination with other U.S. governmental agencies related to communications policy.
  - Participate in meetings and conferences with foreign regulators to foster sound communications policies.
  - Meet with NTIA and the Department of State as necessary to coordinate U.S. positions related to those policies.
  - Work with U.S. government agencies and foreign regulators to promote international trade policies for telecommunications services and equipment, e.g., Mutual Recognition Agreements for telecommunications product approval.
- (2) Work with other U.S. government agencies to participate in international studies that track the status of global communications.
  - Provide input, edits and comments in a timely manner for policy papers, best practices guidelines, studies and statistical reports.
- (3) Support and facilitate the deployment of satellite systems.
  - Initiate rulemakings that adopt technical and service rules for licensing new satellite space and earth station facilities that will provide innovative satellite-based services and permit the more efficient use of spectrum resources.

***Outcome-oriented Performance Goal 5.3:*** Ensure expeditious and thorough review of proposed transactions to ensure they serve the public interest.

#### ***Target with Subordinate Measures:***

- (1) Adhere to policies and processes for transaction review that are transparent and uniform across the FCC's Bureaus and Offices.
  - Review, process and resolve in a timely manner applications for transfer of control and assignment of licenses,
  - Decision documents concerning mergers and transactions will cite relevant facts, sources of information, and will convey the basis for decisions.

## **Means and Strategies for Accomplishing Performance**

<b>PROMOTE COMPETITION</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforcing the Communications Act and the Commission's rules.</li> <li>▪ Industry monitoring and analysis</li> <li>▪ Data collection and analysis</li> <li>▪ Licensing</li> <li>▪ Technology analysis</li> </ul>	<ul style="list-style-type: none"> <li>▪ Understanding of various communications marketplaces</li> <li>▪ Understanding of economic and legal impacts of converging media technologies</li> <li>▪ Ability to analyze economic impact of industry behavior</li> <li>▪ Understanding technological advancement and establishing an environment that promotes it</li> <li>▪ Auditing, investigating and enforcing</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Consolidated Licensing System (CLS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Consumer Complaints Management System (CCMS)</li> <li>▪ Consumer Information Management System (CIMS)</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Equipment Authorization System</li> <li>▪ Experimental Licensing System</li> <li>▪ OFACS (coordination database)</li> <li>▪ KDB (OET Knowledge Data Base)</li> </ul>

## ***PUBLIC SAFETY AND HOMELAND SECURITY***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 6.1:*** Promote access to effective communications services, including next generation services, in emergency situations across a range of platforms by public safety, health, defense, and other emergency personnel, as well as all consumers in need.

#### ***Targets with Subordinate Measures:***

- (1) Enhance communications and media network reliability, including emergency preparedness and disaster management practices.
  - Ensure that communications are available during emergencies and crises by pursuing network outage reporting enforcement actions.
  - Participate in international meetings, conferences, and activities to promote the continued reliability of the global communications infrastructure.
  - Coordinate and work collaboratively across FCC Offices and Bureaus on rulemaking items regarding accessibility of emergency information to persons with disabilities.
- (2) Facilitate participation in the Wireless Priority Service (WPS) Program.
  - Work closely with the National Communications System to increase participation in the WPS program by federal, state, local, and tribal governments as well as first responder organizations.
- (3) Facilitate participation in the Telecommunications Service Priority (TSP) Program.
  - Work closely with the National Communications System to increase participation in the TSP program by federal, state, local, and tribal governments as well as 911 call centers and first responder organizations.
- (4) Increase awareness of the Commission's public safety activities.
  - Convene periodic public summits on topics of critical importance, providing outreach to first responders and the public safety community in general.
- (5) Gather and disseminate public safety communications information.
  - Maintain a comprehensive internet clearinghouse for the collection, evaluation and dissemination of public safety information, retrievable by target group and subject area.

***Outcome-oriented Performance Goal 6.2:*** Evaluate and strengthen measures for protecting the nation's critical communications infrastructure and facilitate rapid restoration of the U.S. communications infrastructure and facilities after disruption by any cause, including cyberattacks.

#### ***Targets with Subordinate Measures:***

- (1) Promote construction of nationwide, interoperable broadband public safety capabilities.
  - Adopt and implement Commission rules that would effectuate the deployment and operation of a common, interoperable broadband infrastructure for America's first responders.
  - Enhance the Commission's Emergency Response Interoperability Center (ERIC) so that it is fully functional.
- (2) Take appropriate enforcement action for non-compliance with 911 and E911 requirements, including defending the Commission's VoIP and 911 and E911 rules in litigation.
  - Maximize compliance with the Commission's rules governing the nationwide availability of E911 solutions to ensure that consumers have access to advanced public safety services in an emergency by reviewing carrier compliance reports and taking enforcement action where appropriate.
  - Promote compliance with the Commission's rules by taking action, where appropriate, consistent with applicable statutes of limitations and other deadlines, on all new complaints concerning the Commission's 911 and E911 rules.
- (3) Improve the effectiveness of an Emergency Alert System (EAS).
  - Promote actions to expand EAS to users of additional communications technologies and media.
  - Meet at least quarterly with FEMA and other relevant agencies regarding EAS operational issues and potential improvements.

**Outcome-oriented Performance Goal 6.3:** Implement, maintain and conduct exercises for the FCC's Continuity of Operations Plans (COOP) and Emergency Preparedness Plans and act swiftly in matters affecting public safety, homeland security, and disaster management.

**Targets with Subordinate Measures:**

- (1) Establish COOP and emergency preparedness procedures to ensure accuracy, improve effectiveness, and create a better state of readiness.
  - Develop a Devolution Plan for the agency.
  - Implement a Pandemic Plan for the agency.
  - Provide for the acquisition of resources necessary for continuity operations on an emergency basis for up to 30 days or until normal operations can be resumed.
- (2) Identify and provide continuity funding and specific budgetary guidance for all FCC bureaus and offices.
  - Use a risk assessment methodology to identify, prioritize, and justify the allocation of continuity budgetary resources.
  - Integrate continuity budgeting in multi-year strategic planning with performance linked to established objectives and metrics.
  - Budget for continuity requirements in accordance with NSPD-51/HSPD-20 and the National Communications System Directive 3-10 (Continuity Communications) as applicable.
- (3) Ensure that communications are available during emergencies and crises by taking action on 100% of complaints of interference to public safety communications within one day.
  - Complaints of interference to public safety communications will always receive top priority.
- (4) Ensure that communications are available during emergencies and crises by conducting cable signal leakage inspections to minimize harmful interference to aviation and public safety frequencies.
  - Report quarterly on the number of cable signal leakage inspections.
- (5) During crises, work closely with our federal partners such as FEMA and the National Communications System to provide situational awareness data from the Disaster Information Reporting System (DIRS) or data derived from the operation of Project Roll Call equipment.
  - Provide all staff resources necessary during crises to gather and provide data from DIRS and Project Roll Call.

## **Means and Strategies for Accomplishing Performance**

<b>PUBLIC SAFETY AND HOMELAND SECURITY</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"> <li>▪ Rulemaking</li> <li>▪ Enforce the Communications Act and the Commission's rules.</li> <li>▪ Data collection and analysis</li> <li>▪ Intergovernmental and international negotiations</li> <li>▪ Communications and Crisis Management Center</li> <li>▪ National Communications System (NCS)</li> <li>▪ Government Emergency Telecommunications Service (GETS)</li> <li>▪ Telecommunications Service Priority System (TSP)</li> <li>▪ Continuity of Operations Plan (COOP)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Knowledge of federal and state public safety and emergency procedures.</li> <li>▪ Understanding of national defense operations.</li> <li>▪ Facilitation and communication skills necessary to increase awareness of numerous emergency services and plans.</li> <li>▪ Risk assessment.</li> <li>▪ Understanding of relevant law</li> </ul>	<ul style="list-style-type: none"> <li>▪ Network Outage Reporting System (NORS)</li> <li>▪ Disaster Information Reporting System (DIRS)</li> <li>▪ E-911/Wireless E-911</li> <li>▪ Emergency Alert System (EAS)</li> <li>▪ Wireless Priority Access System (WPAS)</li> <li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li> <li>▪ Consolidated Licensing System (CLS)</li> <li>▪ Universal Licensing System (ULS)</li> <li>▪ Electronic Document Management System (EDOCS)</li> <li>▪ Electronic Comment Filing System (ECFS)</li> <li>▪ Fee Filer</li> <li>▪ Desktop/Network Document Development and Data Access Tools</li> <li>▪ Electronic Tariff Filing System (ETFS)</li> <li>▪ Project Roll Call equipment and vehicles</li> </ul>

## ***ADVANCE KEY NATIONAL PURPOSES***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 7.1:*** Promote and facilitate the use of broadband to address key national challenges, including health care, education, energy, and e-government.

#### ***Target with Subordinate Measures:***

(1) Support and facilitate the increased use of broadband across key national purposes.

- Support the use of broadband across national purposes in rulemakings by promoting innovative and flexible uses of both wired and wireless broadband technology.
- Support the use of broadband across national purposes through other means, such as by facilitating public and private partnerships across industry, government, and nonprofit organizations.

***Outcome-oriented Performance Goal 7.2:*** Ensure that small businesses have the access to broadband and other communications tools needed to drive innovation and economic growth.

#### ***Target with Subordinate Measures:***

(1) Support and facilitate wired and wireless deployment and competition to ensure that small businesses have robust broadband connectivity and meaningful choice of broadband services.

- Promote deployment of broadband services, both wired and wireless, to all small businesses across the country through continued regulatory reforms.
- Promote competition across broadband service providers, including wired and wireless technologies, by facilitating competition and market entry.

### **Means and Strategies for Accomplishing Performance**

<b>ADVANCE KEY NATIONAL PRIORITIES</b>		
<b>Processes</b>	<b>Skills</b>	<b>Technology</b>
<ul style="list-style-type: none"><li>▪ Rulemaking</li><li>▪ Enforce the Communications Act and the Commission's rules.</li><li>▪ Industry analysis</li><li>▪ Data collection</li><li>▪ Licensing</li><li>▪ Engineering</li><li>▪ Inter-governmental and international negotiations</li></ul>	<ul style="list-style-type: none"><li>▪ Understanding of relevant law</li><li>▪ Understanding of both economic and technical aspects of the telecommunications industry, both domestically and internationally.</li><li>▪ Forecasting changing needs of and expectations toward underserved groups</li><li>▪ Ability to analyze economic impact of industry performance</li></ul>	<ul style="list-style-type: none"><li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li><li>▪ Consolidated Licensing System (CLS)</li><li>▪ Universal Licensing System (ULS)</li><li>▪ Consumer Complaints Management System (CCMS)</li><li>▪ Electronic Document Management System (EDOCS)</li><li>▪ Electronic Comment Filing System (ECFS)</li><li>▪ Fee Filer</li><li>▪ Desktop/Network Document Development and Data Access Tools</li><li>▪ Form 477 Data Collection System</li><li>▪ Tower Construction Notification System</li><li>▪ OFACS (coordination database)</li></ul>

## ***OPERATIONAL EXCELLENCE***

### **Performance Commitments and Metrics**

***Outcome-oriented Performance Goal 8.1:*** Effectively manage the FCC's information technology resources by maintaining secure systems that meet the needs of both the FCC and the system users.

#### ***Targets with Subordinate Measures:***

- (1) Improve Commission systems to make information readily available to agency management for decision making.
  - Ensure that internal information systems provide timely and easily accessible data to FCC managers.
- (2) Upgrade and enhance technology and tools used by Commission staff to carry out the agency's mission.
  - Provide FCC staff with information technology hardware, systems and training to create an efficient and effective workforce.

***Outcome-oriented Performance Goal 8.2:*** Effectively manage the human resources of the FCC in order to ensure sufficient resources and knowledge to handle the FCC's workload.

#### ***Targets with Subordinate Measures:***

- (1) Develop targeted skills and competencies for FCC employees through appropriate career development aligned with the Commission's strategic goals.
  - Provide a robust selection of training opportunities for Commission employees and encourage employee participation.
  - Continue reevaluation and implementation of the FCC's Strategic Human Capital plan.

***Outcome-oriented Performance Goal 8.3:*** Effectively manage the FCC's financial resources to best achieve the FCC's mission and to maintain internal controls that allow for sound financial management and accounting.

#### ***Targets with Subordinate Measures:***

- (1) Conduct a program of continuous review and evaluation to assure that all administrative operations are helping control or contain costs, providing high quality customer service, and improving the effectiveness and efficiency of Commission operations.
  - Maintain an effective internal controls program that complies with all applicable laws and regulations to ensure proper stewardship of Federal resources. Promptly respond to and remediate identified risks, operational weaknesses, and internal control deficiencies that warrant correction.

***Outcome-oriented Performance Goal 8.4:*** Effectively manage the FCC's administrative and management program resources to provide for the appropriate support for all of the FCC's activities and to maintain internal controls that allow for sound facility and equipment expenditures.

#### ***Targets with Subordinate Measures:***

- (1) Promote greater accountability by strengthening performance management controls.
  - Collect performance data for FCC managers to use in making decisions concerning program effectiveness and allocation of resources.
  - Review audits and evaluations from the Office of Inspector General and address recommended improvements in FCC operations and functions.
- (2) Ensure compliance with all general administrative laws and regulations, including fiscal, procurement, ethics, employment, environmental, and appropriations.
  - Meet or exceed the Small Business Administration (SBA) contracting set-aside goal.

***Outcome-oriented Performance Goal 8.5:*** Effectively manage the FCC's processes for monitoring and disposing of applications, petitions, and complaints before the FCC in order to achieve timely action on pending items.

**Targets with Subordinate Measures:**

- (1) Enforce the Commission's licensing and technical regulations, including limitations on power outputs, antenna and tower height, and build-out requirements, to ensure that licensees and operators of unlicensed devices are using spectrum efficiently and effectively.
  - Continue an aggressive program of inspections and investigations by agents in the field to help maximize compliance with the Commission's licensing and technical requirements.
- (2) Maintain efficient licensing and facilities siting and access processes to encourage and facilitate rapid deployment of broadband infrastructure.
  - Process 90% of routine license applications for wireless broadband services within 90 days of receipt.
  - Resolve, through rulemaking, addressing petitions for reconsideration, environmental analyses, or other means, communications tower and antenna siting issues.

**Outcome-oriented Performance Goal 8.6:** Continuously review and examine our regulatory processes and significant regulations to achieve statutory objectives while reducing burdens on industry and promoting innovation and job growth.

**Targets with Subordinate Measures:**

- (1) Eliminate outdated regulations to ensure that FCC rules and policies promote a healthy climate for private investment and job creation.
  - Continue to conduct a review of rules and data collections within each FCC bureau and office with the goal of eliminating or revising requirements that are outdated, inconsistent with current technologies, or place needless burdens on businesses or FCC resources.

**Means and Strategies for Accomplishing Performance**

OPERATIONAL EXCELLENCE		
Processes	Skills	Technology
<ul style="list-style-type: none"><li>▪ Management and document tracking and change control</li><li>▪ Workforce analysis</li><li>▪ Capital asset planning and deployment</li><li>▪ Strategic and performance planning</li><li>▪ Information technology planning and deployment</li><li>▪ Performance budgeting</li></ul>	<ul style="list-style-type: none"><li>▪ Planning, scheduling, and budgeting</li><li>▪ Change management</li><li>▪ Productivity and efficiency improvement</li><li>▪ Training and workforce development</li><li>▪ Workforce analysis</li><li>▪ Understanding of relevant law</li></ul>	<ul style="list-style-type: none"><li>▪ Commission Registration System (CORES)</li><li>▪ Core Financial Management System</li><li>▪ Electronic Commission Lifecycle Agenda Tracking System (eCLAS)</li><li>▪ Electronic Document Management System (EDOCS)</li><li>▪ Electronic Comment Filing System (ECFS)</li><li>▪ Consumer Complaints Management System (CCMS)</li><li>▪ Fee Filer</li><li>▪ Desktop/Network Document Development and Data Access Tools</li></ul>



## **FEE COLLECTIONS AND AUCTIONS**



## **FEE COLLECTIONS AND AUCTIONS**

### **Regulatory Fees**

P.L. 103-66, “The Omnibus Budget Reconciliation Act of 1993,” requires that the FCC annually collect fees and retain them for FCC use in order to offset certain costs incurred by the Commission.

The fees collected are intended to recover the costs attributable to the Commission’s enforcement, policy and rulemaking, user information services, and international regulatory activities.

The fees, often referred to as Section 9 fees, apply to the current holder of the license as of a specific date and to other entities (e.g., cable television systems) which benefit from Commission regulatory activities not directly associated with its licensing or applications processing functions.

The regulatory fees do not apply to governmental entities, amateur radio operator licensees, nonprofit entities holding tax exempt status under section 501(c) of the Internal Revenue code, 26 U.S.C. § 501, and certain other non-commercial entities.

The provisions of this law, codified at 47 U.S.C. § 159, give the Commission authority to review the regulatory fees and to adjust the fees to reflect changes in its appropriation from year to year. It may also add, delete or reclassify services under certain circumstances. Additionally, the legislation requires the Commission to charge a 25% late payment penalty and to dismiss applications or revoke licenses for non-payment of the fees, although it may waive, reduce or defer payment of a fee for good cause.

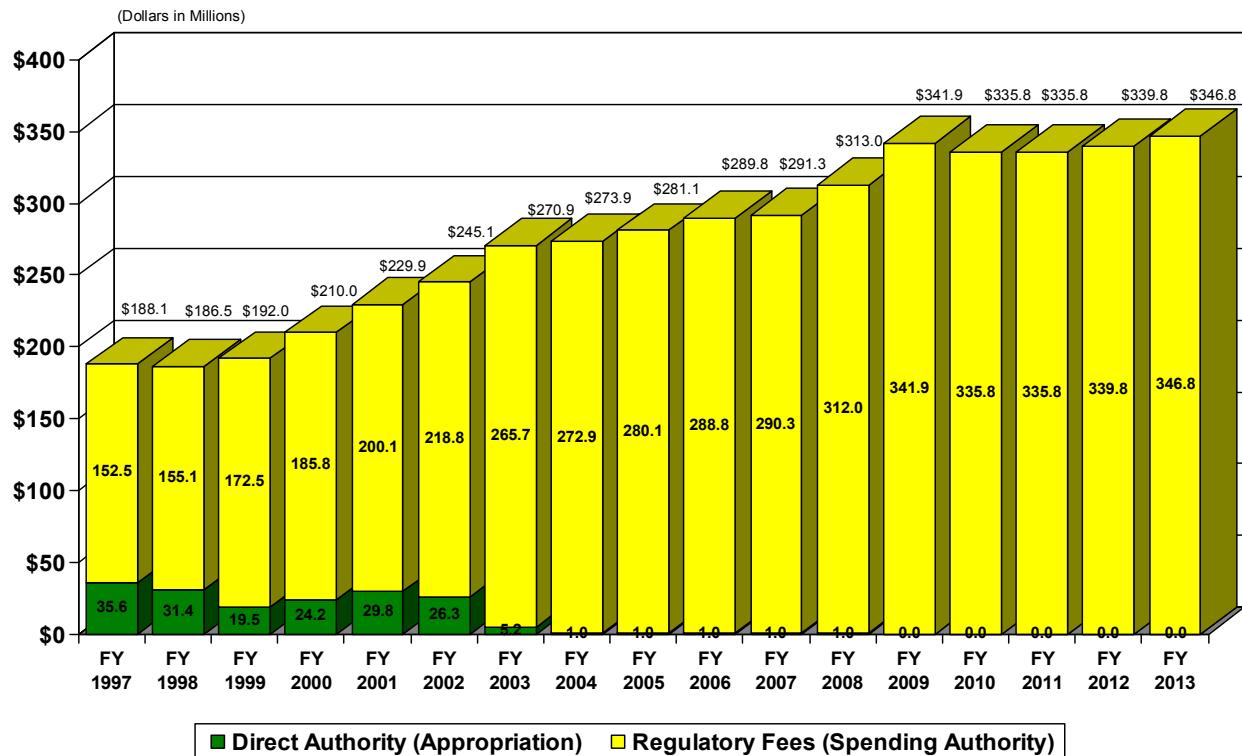
The Commission implemented the Regulatory Fee Collection Program by rulemaking on July 18, 1994. The most recent fee schedule became effective on September 9, 2011, pursuant to an order adopted by the Commission on July 18, 2011, released July 19, 2011, and published in the Federal Register August 10, 2011 (74 FR 41932).

### **Authorization to Retain Fees**

Fees collected up to the level established by Congress are applied against the Commission’s annual appropriation at the close of each fiscal year. The regulatory fee levels of \$335,794 for FY 2011 and \$335,794 for FY 2010 were achieved. The Commission collected \$6,247 above the required regulatory level in FY 2011 and \$5,739 in FY 2010, which are reported as temporarily not available pursuant to Public Law. The total cumulative amount collected above the required regulatory level was \$66,170 at September 30, 2011.

Appropriations language for FY 2012 prohibits the Commission from using any excess offsetting collections received in FY 2012 or any prior years. The FCC proposed the same treatment of excess collections in its FY 2013 budget request. .

**FY 1997 – FY 2013 RESOURCE COMPARISON**  
**Distribution of Appropriated Budget Authority**



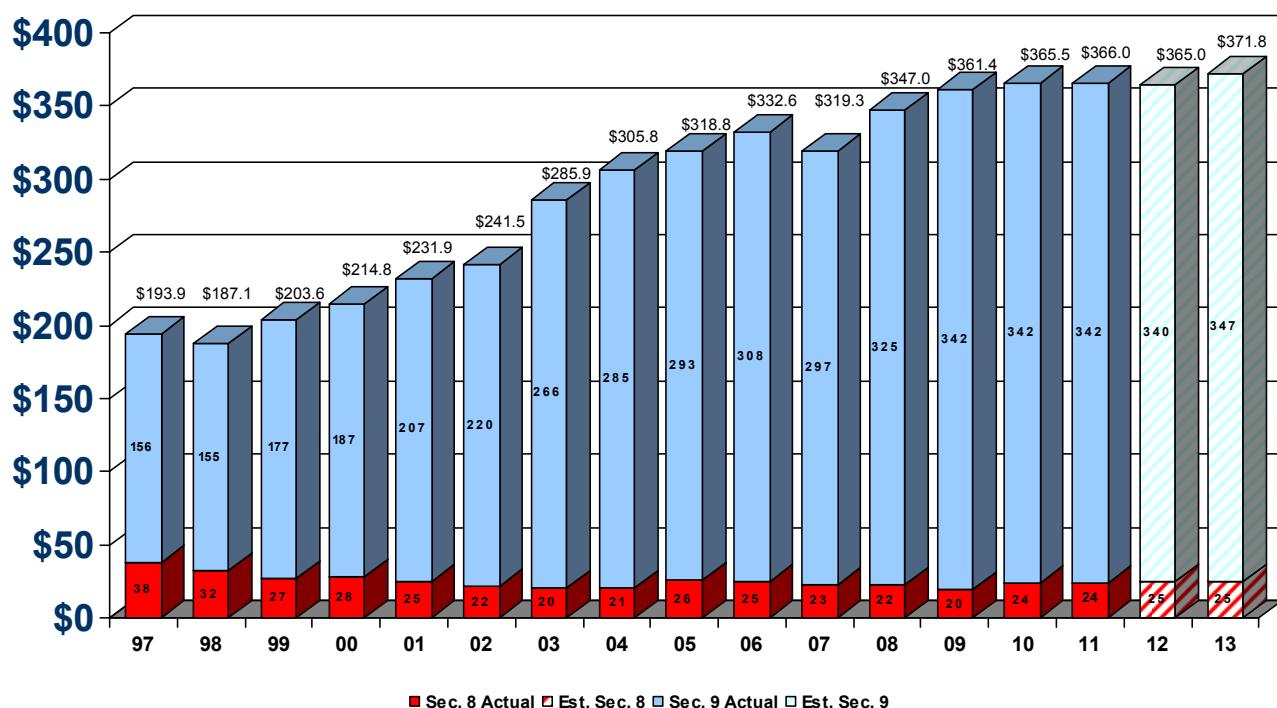
**FY 2013 Regulatory Fee Assumptions**

The FY 2011 appropriation for the FCC authorized \$335.8 million in collection of regulatory fees. The FY 2012 enacted budget increased regulatory fees to a level of \$339.8 million. The FY 2013 budget proposes an increase of regulatory fees to a level of \$346.8 million. These funds will support Commission-wide goals that will allow the FCC to serve the American public in an efficient, effective and responsive manner. The distribution of Budget Authority between direct and offsetting collections from Regulatory Fees is illustrated in the above graph.

## Application Processing Fees

Since FY 1987 the FCC has collected and deposited into the General Fund of the U.S. Treasury application processing fees, often referred to as Section 8 fees. The fees are intended to recover a substantial portion of the costs of the Commission's applications processing functions. The program encompasses over 300 different fees, with the vast majority collected at the time an original license application, renewal or request for modification is filed with the Commission. Most fees are assessed as a one-time charge on a per-application basis, although there are certain exceptions. Government, nonprofit, non-commercial broadcast and amateur license applicants are exempt from the fees. A lockbox bank is used to collect the fees, with all fees deposited into the General Fund of the U.S. Treasury. Once deposited, these fees are generally not refundable regardless of the outcome of the application process. The Commission must review and revise the fees every two years based upon changes to the Consumer Price Index (CPI). On February 28, 2011, the Commission adopted an Order which increased application fees to reflect these CPI changes; this change became effective June 21, 2011. Application Processing Fee Collections (Section 8) and Regulatory Fee collections are summarized in the following graph.

### FEE COLLECTIONS\* FY 1997 – FY 2013



\*In addition to Sec. 8 processing fees which go to General Fund of Treasury, totals for FY 1997-2011 include Sec. 9 Regulatory Fees. Sec. 9 actuals reflect fees collected thru 9/30. Est. Sec. 9 reflects fees established in appropriations language.

## **Spectrum Auctions**

The Omnibus Budget Reconciliation Act of 1993, P.L. 103-66, required the FCC to auction portions of the spectrum for certain services, replacing the former lottery process. The Commission is required to ensure that small businesses, women, minorities, and rural telephone companies have an opportunity to participate in the competitive bidding process. The Commission initiated regulations implementing the spectrum auction authority granted by the legislation and conducted its first round of auctions in July 1994. To date the Commission has completed 80 auctions. As of December 31, 2011, total net winning bids collected and deposited into Treasury from this program have exceeded \$51.0 billion. The original spectrum auction authority was scheduled to expire in FY 1998; however, it was extended through FY 2007 in the Balanced Budget Act of 1997, P.L. 105-33. The authority has since been extended through FY 2011 by the Deficit Reduction Act of 2005, P.L. 109-171, and most recently, the authority was extended through September 30, 2012 by the DTV Delay Act, P.L. 111-4.

The Commission is authorized to retain from auction revenues those funds necessary to develop, implement and maintain the auction program. These funds cover the personnel and administrative costs required to plan and execute spectrum auctions; operational costs to manage installment payments and collections activities; development, implementation, and maintenance of all information technology systems necessary for Auctions operations, including development of a combinatorial bidding system, and a proportional share of the general administrative costs of the Commission based on the split of direct FTE hours charged to auctions in the previous year. This budget submission assumes the auctions program will continue to recover the costs of conducting all auctions activities from spectrum license receipts as the FCC continues to use auctions as a licensing mechanism for spectrum based communications services. The FCC's FY 2012 Appropriations language capped the auctions program at \$85 million. It is anticipated that the FCC's FY 2013 Appropriation language will also, cap the auctions program at \$85 million.

The Balanced Budget Act of 1997, P.L. 105-33, required that the Commission provide to authorizing committees a detailed report of obligations in support of the auctions program for each fiscal year of operation, as a prerequisite to the continued use of auctions receipts for the costs of all auctions activities. The FY 2011 Auctions Report will be provided to the appropriate Congressional committees by September, 2012. The FY 2012 Auctions Report will be submitted by September, 2013.

**BUREAUS AND OFFICES  
FY 2013 REQUIREMENTS**



## **BUREAU/OFFICE FY 2013 REQUIREMENTS**

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## OFFICE OF THE CHAIRMAN AND COMMISSIONERS

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$3,535,244	\$3,685,327	\$4,510,555
<b>12-Benefits</b>		\$842,864	\$919,501	\$1,015,991
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$4,378,108</b>	<b>\$4,604,828</b>	<b>\$5,526,546</b>
<b>21-Travel</b>		\$193,333	\$313,298	\$279,948
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$311,656	\$278,023	\$313,205
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$2,445	\$4,000	\$4,000
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$507,434</b>	<b>\$595,321</b>	<b>\$597,153</b>
<b>TOTAL</b>		<b>\$4,885,542</b>	<b>\$5,200,149</b>	<b>\$6,123,699</b>

The FCC is directed by five Commissioners appointed by the President and confirmed by the Senate for 5-year terms, except when filling an unexpired term. The President designates one of the Commissioners to serve as Chairperson. Only three Commissioners may be members of the same political party. None of them can have a financial interest in any Commission-related business.

The Chairman serves as the chief executive officer of the Commission, supervising all FCC activities, delegating responsibilities to staff units and Bureaus, and formally representing the Commission before the Congress and the Administration.

## CONSUMER AND GOVERNMENTAL AFFAIRS BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$18,445,571	\$18,963,871	\$19,211,555
<b>12-Benefits</b>		\$4,644,144	\$4,775,830	\$4,330,673
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$23,089,715</b>	<b>\$23,739,701</b>	<b>\$23,542,228</b>
<b>21-Travel</b>		\$84,071	\$369,535	\$211,222
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$1,164,932	\$1,116,675	\$1,148,087
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$1,282,986	\$919,500	\$1,209,369
<b>26-Supplies and Materials</b>		\$2,190	\$400	\$671
<b>31-Equipment</b>		\$1,348	\$0	\$2,175
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$2,535,527</b>	<b>\$2,406,110</b>	<b>\$2,571,524</b>
<b>TOTAL</b>		<b>\$25,625,242</b>	<b>\$26,145,811</b>	<b>\$26,113,752</b>

The Consumer and Governmental Affairs Bureau develops and administers the Commission's consumer and inter-governmental affairs policies and initiatives to enhance the public's understanding of the Commission's work and to facilitate the Agency's relationships with other governmental agencies and organizations. The Bureau is responsible for rulemaking proceedings regarding general consumer and disability policy. The Bureau serves as the primary entity responsible for communicating with the general public regarding Commission policies, programs, and activities in order to facilitate public education and participation in the Commission's decision-making processes.

The Bureau's overall objectives include: advising the Commissioners and the other Bureaus and Offices on consumer, disability and inter-governmental related areas of concern or interest; initiating, reviewing, and coordinating orders, programs and actions, in conjunction with other Bureaus and Offices, in matters regarding consumer and disability policy and procedures, and any other related issues affecting consumer policy; representing the Commission on consumer and inter-governmental related committees, working groups, task forces and conferences within and outside the Agency; and providing expert advice and assistance to Bureaus and Offices and consumers regarding compliance with applicable disability and accessibility requirements, rules and regulations.

The Bureau serves as the public face of the Commission through outreach and education, as well as through our Consumer Center, which is responsible for responding to consumer inquiries and complaints. The Bureau has been particularly active in public outreach related to the digital television transition, for which it received significant one-time resources in FY 2010. The Bureau also maintains collaborative partnerships with state, local, and tribal governments in such critical areas as emergency preparedness and implementation of new technologies.

The Bureau's activities include: consumer and disability policy development and coordination; interaction with the public, federal, state, local, tribal and other government agencies and industry groups; oversight of the Consumer Advisory Committee, and the Intergovernmental Advisory Committee; informal complaint mediation and resolution; consumer outreach and education; maintaining official FCC records; coordination with the Office of Managing Director for Agency-wide strategic planning efforts; and any other functions as may be assigned, delegated, or referred to the Bureau by the Commission.

## ENFORCEMENT BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$31,343,217	\$32,101,263	\$34,931,153
<b>12-Benefits</b>		\$8,022,443	\$8,214,874	\$7,975,137
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$39,365,660</b>	<b>\$40,316,137</b>	<b>\$42,906,290</b>
<b>21-Travel</b>		\$275,233	\$292,850	\$325,619
<b>22-Transportation of Things</b>		\$32,503	\$36,000	\$13,344
<b>23-Rent and Communications</b>		\$3,668,012	\$3,391,372	\$3,448,686
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$839,427	\$533,800	\$605,676
<b>26-Supplies and Materials</b>		\$300,869	\$285,250	\$262,946
<b>31-Equipment</b>		\$293,956	\$368,500	\$4,525,021
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$5,410,000</b>	<b>\$4,907,772</b>	<b>\$9,181,292</b>
<b>TOTAL</b>		<b>\$44,775,660</b>	<b>\$45,223,909</b>	<b>\$52,087,582</b>

The Enforcement Bureau serves as the primary Commission entity responsible for enforcement of the Communications Act and other communications statutes, the Commission's rules, orders and authorizations, other than matters that are addressed in the context of a pending application for a license or other authorization or in the context of administration, including post-grant administration, of a licensing or other authorization or registration program. The Enforcement Bureau's responsibilities include, among other things:

- Resolving complaints regarding:
  - compliance with statutory and regulatory provisions, including complaints filed under section 208 of the Communications Act;
  - acts or omissions of non-common carriers subject to the Commission's jurisdiction under Title II of the Communications Act and related provisions;
  - accessibility to communications services and equipment for persons with disabilities;
  - radiofrequency interference and radiofrequency equipment and devices;
  - compliance with the Commission's Emergency Alert System rules;
  - the lighting and marking of radio transmitting towers;
  - indecent communications subject to the Commission's jurisdiction;
  - the broadcast and cable television children's television programming commercial limits contained in section 102 of the Children's Television Act;
  - unauthorized construction and operation of communications facilities;
  - false distress signals;
  - Title III licensees and permittees;

- pole attachments filed under section 224 of the Communications Act;
- multichannel video and cable television service under part 76 of the Commission's rules; and
- other matters assigned to it by the Commission.
- Resolving universal service suspension and debarment proceedings.
- Conducting investigations and collecting information in connection with complaints, on its own initiative, or upon request of another Bureau or Office.
- Mediating and settling disputes between service providers.
- Serving as trial staff in formal hearings conducted pursuant to 5 U.S.C. § 556 regarding applications, revocation, forfeitures and other matters designated for hearing.
- Providing field support for, and field representation of, the Bureau, other Bureaus and Offices and the Commission.
- Handling congressional and other correspondence relating to or requesting specific enforcement actions, specific complaints or other specific matters within the responsibility of the Bureau, to the extent not otherwise handled by the Consumer and Governmental Affairs Bureau, the Office of General Counsel (impermissible ex parte presentations) or another Bureau or Office.
- Issuing non-hearing related subpoenas for the attendance and testimony of witnesses and the production of books, papers, correspondence, memoranda, schedules of charges, contracts, agreements, and any other records deemed relevant to the investigation of matters within the responsibility of the Bureau.

## INTERNATIONAL BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$16,212,198	\$16,724,381	\$15,815,608
<b>12-Benefits</b>		\$3,950,343	\$4,085,955	\$3,679,870
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$20,162,541</b>	<b>\$20,810,336</b>	<b>\$19,495,478</b>
<b>21-Travel</b>		\$427,435	\$601,597	\$373,411
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$989,021	\$1,000,844	\$1,023,732
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$23,544	\$9,556	\$57,424
<b>26-Supplies and Materials</b>		\$16,033	\$14,041	\$18,363
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$1,456,033</b>	<b>\$1,626,038</b>	<b>\$1,472,931</b>
<b>TOTAL</b>		<b>\$21,618,574</b>	<b>\$22,436,374</b>	<b>\$20,968,409</b>

The International Bureau develops, recommends and administers policies, standards, procedures and programs for the regulation of international telecommunications facilities and services and the licensing of satellite and submarine cable facilities under its jurisdiction. The Bureau advises and recommends to the Commission, or acts for the Commission under delegated authority, in the development of and administration of international telecommunications policies and programs. The International Bureau assumes the principal representational role for Commission activities in international organizations. The International Bureau has the following duties and responsibilities:

- Initiating and directing the development and articulation of international telecommunications policies, consistent with the priorities of the Commission.
- Advising the Chairman and Commissioners on matters of international telecommunications policy, and on the status of the Commission's actions to promote the vital interests of the American public in international commerce, national defense, and foreign policy areas.
- Developing, recommending, and administering policies, rules, and procedures for the authorization, licensing, and regulation of international telecommunications facilities and services and domestic and international satellite systems.
- Monitoring compliance with the terms and conditions of authorizations and licenses granted by the Bureau, and pursuing enforcement actions in conjunction with appropriate bureaus and offices.
- Representing the Commission on international telecommunications matters at both domestic and international conferences and meetings, and directing and coordinating the Commission's preparation for such conferences and meetings.

- Serving as the single focal point within the Commission for cooperation and consultation on international telecommunications matters with other federal agencies, international or foreign organizations, and appropriate regulatory bodies and officials of foreign government.
- Developing, coordinating with other federal agencies, and administering regulatory assistance and training programs for foreign administrations to promote telecommunications development.
- Providing advice and technical assistance to U.S. trade officials in the negotiation and implementation of telecommunications trade agreements.
- Conducting economic, legal, technical, statistical and other appropriate studies, surveys and analyses in support of development of international telecommunications policies and programs.
- Collecting and disseminating within the Commission information and data on international telecommunications, regulatory and market developments in other countries and international organizations.
- Promoting the international coordination of spectrum allocation, and frequency and orbital assignments, so as to minimize cases of international radio interference involving U.S. licensees.
- Directing and coordinating, in consultation with appropriate bureaus and offices, negotiation of international agreements to provide for arrangements and procedures for bilateral coordination of radio frequency assignments to prevent or resolve international radio interference involving U.S. licensees.
- Ensuring fulfillment of the Commission's responsibilities under international agreements and treaty obligations, and, consistent with Commission policy, ensuring that the Commission's regulations, procedures, and frequency allocations comply with mandatory requirements of all applicable international and bilateral agreements.
- Overseeing and, as appropriate, administering activities pertaining to the international consultation, coordination and notification of U.S. frequency and orbital assignments, including activities required by bilateral agreements, the International Radio Regulations, and other international agreements.

## MEDIA BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$22,650,542	\$23,257,993	\$24,330,226
<b>12-Benefits</b>		\$5,335,191	\$5,503,325	\$5,228,772
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$27,985,733</b>	<b>\$28,761,318</b>	<b>\$29,558,998</b>
<b>21-Travel</b>		\$35,988	\$49,959	\$28,684
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$1,579,363	\$1,525,660	\$1,560,551
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$108,276	\$134,187	\$652,153
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$148	\$150	\$13,454
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$1,723,775</b>	<b>\$1,709,956</b>	<b>\$2,254,842</b>
<b>TOTAL</b>		<b>\$29,709,508</b>	<b>\$30,471,274</b>	<b>\$31,813,840</b>

The Media Bureau develops, recommends and administers the policy and licensing programs for the regulation of media, including cable television, broadcast television and radio, and satellite services in the United States and its territories. The Bureau advises and recommends to the Commission, or acts for the Commission under delegated authority, in matters pertaining to multichannel video programming distribution, broadcast radio and television, direct broadcast satellite service policy, and associated matters. The Bureau will, among other things:

- Conduct rulemaking proceedings concerning the legal, engineering, and economic aspects of electronic media services.
- Conduct comprehensive studies and analyses concerning the legal, engineering and economic aspects of electronic media services.
- Resolve waiver petitions, declaratory rulings and adjudications related to electronic media services.
- Process applications for authorization, assignment, transfer and renewal of media services, including AM, FM, TV, the cable TV relay service, and related matters.

## PUBLIC SAFETY AND HOMELAND SECURITY BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$12,763,853	\$13,108,936	\$13,597,969
<b>12-Benefits</b>		\$3,337,199	\$3,440,881	\$3,243,291
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$16,101,052</b>	<b>\$16,549,817</b>	<b>\$16,841,260</b>
<b>21-Travel</b>		\$123,609	\$133,527	\$93,764
<b>22-Transportation of Things</b>		\$35,460	\$0	\$0
<b>23-Rent and Communications</b>		\$891,359	\$841,883	\$862,248
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$912,287	\$454,683	\$1,125,043
<b>26-Supplies and Materials</b>		\$9,434	\$3,630	\$10,810
<b>31-Equipment</b>		\$47,941	\$57,934	\$31,358
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$2,020,090</b>	<b>\$1,491,657</b>	<b>\$2,123,223</b>
<b>TOTAL</b>		<b>\$18,121,142</b>	<b>\$18,041,474</b>	<b>\$18,964,483</b>

The Public Safety and Homeland Security Bureau (PSHS) advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in all matters pertaining to public safety, homeland security, national security, emergency management and preparedness, disaster management, and ancillary operations. The Bureau has responsibility for coordinating public safety, homeland security, national security, emergency management and preparedness, disaster management, and related activities within the Commission. The Bureau also performs the following functions:

- Develops, recommends, and administers policy goals, objectives, rules, regulations, programs and plans for the Commission to promote effective and reliable communications for public safety, homeland security, national security, emergency management and preparedness, disaster management and related activities, including public safety communications (including 911, enhanced 911, and other emergency number issues), priority emergency communications, alert and warning systems (including the Emergency Alert System), continuity of government operations, implementation of Homeland Security Presidential Directives and Orders, disaster management coordination and outreach, communications infrastructure protection, reliability, operability and interoperability of networks and communications systems, the Communications Assistance for Law Enforcement Act (CALEA), and network security. Recommends policies and procedures for public safety, homeland security, national security, emergency management and preparedness, and recommends national emergency plans and preparedness programs covering Commission functions during national emergency conditions. Conducts outreach and coordination activities with, among others, state and local governmental agencies, hospitals and other emergency health care providers, and public safety organizations. Recommends national emergency plans, policies, and preparedness programs covering the provision of service by communications service providers, including telecommunications service providers, information service providers, common carriers, non-common carriers, broadcasting and cable facilities, satellite and wireless radio services, radio frequency assignment, electro-magnetic radiation, investigation and enforcement.

- Under the general direction of the Defense Commissioner, coordinates the public safety, homeland security, national security, emergency management and preparedness, disaster management, and related activities of the Commission, including national security and emergency preparedness and defense mobilization, Continuity of Government (COG) planning, alert and warning systems (including the Emergency Alert System), and other functions as may be delegated during a national emergency or activation of the President's war emergency powers as specified in section 706 of the Communications Act. Provides support to the Defense Commissioner, including with respect to his/her participation in the Joint Telecommunications Resources Board, and the National Security Telecommunications Advisory Committee and other public safety and homeland security organizations and committees. Represents the Defense Commissioner with other Government agencies and organizations, the communications industry, and Commission licensees on public safety, homeland security, national security, emergency management and preparedness, disaster management, and related issues.
- Develops and administers rules, regulations, and policies for priority emergency communications, including the Telecommunications Service Priority System. Supports the Chief of the Wireline Competition, International and Wireless Telecommunications Bureaus on matters involving assignment of Telecommunications Service Priority System priorities and in administration of that system.
- The Chief of PSHS Bureau or designee Acts as the FCC Alternate Homeland Security and Defense Coordinator and principal to the National Communications System, and serves as the Commission's representative on the National Communications Systems Committees.
- Advises and makes recommendations to the Commission, or acts for the Commission under the delegated authority, in all matters pertaining to the licensing and regulation of public safety, homeland security, national security, emergency management and preparedness, and disaster management wireless telecommunications, including ancillary operations related to the provision or use of such services.
- Conducts studies of public safety, homeland security, national security, emergency management and preparedness, disaster management, and related issues. Develops and administers recordkeeping and reporting requirements for communications companies pertaining to these issues. Administers any Commission information collection requirements pertaining to public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues.
- Interacts with the public, local, state and other governmental agencies, and industry groups (including advisory committees and public safety organizations and associations) on public safety, homeland security, national security, emergency management, disaster management and related issues. Serves as the point of contact for the U.S. Government in matters of international monitoring, fixed and mobile direction-finding and interference resolution; and oversees coordination of non-routine communications and materials between the Commission and international or regional public organizations or foreign administrations.
- Maintains and operates the Commission's public safety, homeland security, national security, emergency management and preparedness, and disaster management facilities and operations,

including the Communications Center, the establishment of any Emergency Operations Center (EOC), and any liaison activities with other federal, state, or local government organizations.

- Reviews and coordinates orders, programs and actions initiated by other Bureaus and Offices in matters affecting public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues to ensure consistency with overall Commission policy.
- Develops and recommends responses to legislative, regulatory or judicial inquiries and proposals concerning or affecting public safety, homeland security, national security, emergency management, disaster management and related issues. Responses to judicial inquiries should be developed with and recommended to the Office of General Counsel.
- Develops and maintains the Commission's plans and procedures, including the oversight, preparation, and training of Commission personnel, for Continuity of Operations (COOP), Continuity of Government functions, and Commission activities and responses to national emergencies and other similar situations.
- Acts on emergency requests for Special Temporary Authority during non-business hours when the other Offices and Bureaus of the Commission are closed. Such actions shall be coordinated with, if possible, and promptly reported to the responsible Bureau or Office.
- Maintains liaison with other Bureaus and Offices concerning matters affecting public safety, homeland security, national security, emergency management and preparedness, disaster management and related issues.
- Operates the Emergency Response Interoperability Center (ERIC) that is responsible for developing and implementing a national interoperability framework for the 700 MHz nationwide interoperable broadband public safety wireless network.
- Is authorized to declare that a temporary state of communications emergency exists pursuant to § 97.401(b) of this chapter and to act on behalf of the Commission with respect to the operation of amateur stations during such temporary state of communications emergency.
- Performs such other functions and duties as may be assigned or referred to it by the Commission or the Defense Commissioner.

## WIRELESS TELECOMMUNICATIONS BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$11,947,277	\$12,282,826	\$12,225,265
<b>12-Benefits</b>		\$3,173,037	\$3,279,616	\$2,879,755
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$15,120,314</b>	<b>\$15,562,442</b>	<b>\$15,105,020</b>
<b>21-Travel</b>		\$8,748	\$20,268	\$17,592
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$286,608	\$270,340	\$276,522
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$190,245	\$580,457	\$55,010
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$485,601</b>	<b>\$871,065</b>	<b>\$349,125</b>
<b>TOTAL</b>		<b>\$15,605,915</b>	<b>\$16,433,507</b>	<b>\$15,454,145</b>

The Wireless Telecommunications Bureau (WTB) advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in matters pertaining to the regulation and licensing of wireless communications services, devices, facilities, and electromagnetic spectrum resources. The Bureau develops and recommends policy goals, objectives, programs, and plans for the Commission on matters concerning wireless communications and electromagnetic spectrum resources, drawing upon relevant economic, technological, legislative, regulatory, and judicial information and developments. Such matters include addressing the present and future wireless communications and spectrum needs of U.S. consumers, businesses, state, local, and tribal governments, and other entities; promoting access, efficiency, and innovation in the allocation, licensing and use of the electromagnetic spectrum; ensuring choice, opportunity, and fairness in the development of wireless communication services and markets; developing policies regarding the conduct of auctions of Commission licenses; promoting investment in wireless communications infrastructure, including wireless broadband, and the integration and interconnection of wireless communications networks with other communications networks and facilities; and promoting the development and widespread availability of wireless broadband, mobile, public safety, and other wireless communications services, devices, and facilities, including through open networks, where appropriate.

The Bureau's activities include developing and coordinating policy; conducting rulemaking and licensing work; conducting spectrum auctions of wireless licenses; and acting on applications for service and facility authorizations. The Bureau also determines the resource impact of existing, planned, or recommended Commission activities concerning wireless communications, and develops and recommends resources deployment priorities. The Bureau reviews and coordinates orders, programs, and actions initiated by other Bureaus and Offices in matters affecting wireless communications to ensure consistency of overall Commission policy.

## WIRELINE COMPETITION BUREAU

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$20,398,518	\$21,313,061	\$19,565,864
<b>12-Benefits</b>		\$5,166,531	\$5,426,232	\$4,578,584
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$25,565,049</b>	<b>\$26,739,293</b>	<b>\$24,144,448</b>
<b>21-Travel</b>		\$50,206	\$74,442	\$58,463
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$1,219,084	\$1,332,235	\$1,362,702
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$86,404	\$104,671	\$90,747
<b>26-Supplies and Materials</b>		\$1,009	\$140	\$0
<b>31-Equipment</b>		\$948	\$1,000	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$1,357,651</b>	<b>\$1,512,488</b>	<b>\$1,511,912</b>
<b>TOTAL</b>		<b>\$26,922,700</b>	<b>\$28,251,781</b>	<b>\$25,656,360</b>

The Wireline Competition Bureau advises and makes recommendations to the Commission, or acts for the Commission under delegated authority, in all matters pertaining to the regulation and licensing of communications providers and ancillary operations (other than matters pertaining exclusively to the regulation and licensing of wireless telecommunications services and facilities). The Bureau develops and recommends policy goals, objectives, programs and plans for the Commission on matters concerning wireline communications, drawing on relevant economic, technological, legislative, regulatory and judicial information and developments. Overall objectives include ensuring that all Americans are included in 21st century communications by reaching all of America with affordable broadband and voice services; ensuring access to affordable broadband connectivity for schools, libraries, and health care institutions; fostering competition, especially for small businesses and ensuring a sustainable framework for competitors who rely on the facilities of others; ensuring that the public has access to accurate and comprehensive data about communications services, including broadband availability and cost; responding to internal and external stakeholders in a timely fashion; conducting rulemaking and adjudicatory proceedings affecting wireline telecommunications service providers and administering the provisions of the Communications Act relating to charges, practices, and classifications for wireline telecommunications service providers to ensure that they are just and reasonable; and working collaboratively with the rest of the agency to address pressing policy issues. The Bureau reviews and coordinates orders, programs and actions initiated by other Bureaus and Offices in matters affecting wireline communications to ensure consistency with overall Commission policy.

The Bureau's activities include: policy development and coordination; adjudicatory and rulemaking proceedings; action on requests for interpretation or waivers of rules; determinations regarding lawfulness of carrier tariffs; action on applications for service and facility authorizations; review of carrier performance; administration of accounting requirements for incumbent local exchange carriers; administration of FCC reporting requirements affecting telecommunications and broadband providers; economic research and analysis; interaction with the public, local, state, and other government agencies, and industry groups on wireline communications regulation and related matters; and any other functions as may be assigned, delegated, or referred to the Bureau by the Commission.

## AGENCY OFFICES

### Office of Administrative Law Judges

FTE	2011 Actual	2012 Enacted	2013 Cong. Request
	3	3	3
<b>11-Compensation</b>	\$280,401	\$286,838	\$379,748
<b>12-Benefits</b>	\$46,079	\$47,430	\$51,733
<b>13-Benefits for Former Personnel</b>	\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>	<b>\$326,480</b>	<b>\$334,268</b>	<b>\$431,481</b>
<b>21-Travel</b>	\$214	\$500	\$522
<b>22-Transportation of Things</b>	\$0	\$0	\$0
<b>23-Rent and Communications</b>	\$22,429	\$22,123	\$22,628
<b>24-Printing and Reproduction</b>	\$0	\$0	\$0
<b>25-Other Contractual Services</b>	\$31,946	\$19,451	\$20,375
<b>26-Supplies and Materials</b>	\$0	\$0	\$0
<b>31-Equipment</b>	\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>	\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>	<b>\$54,589</b>	<b>\$42,074</b>	<b>\$43,524</b>
<b>TOTAL</b>	<b>\$381,069</b>	<b>\$376,342</b>	<b>\$475,005</b>

The Office of the Administrative Law Judges hears and conducts all adjudicatory cases designated for evidentiary adjudicatory hearing other than those designated to be heard by the Commission en banc or by one or more members of the Commission, and other hearings as the Commission may assign. The Office has the following responsibilities:

- Presiding over and conducting formal hearings involving investigations, rule-making and adjudication.
- Acting on motions, petitions and other pleadings filed in proceedings and conducting pre-hearing conferences.
- Administering the oath, examining witnesses, ruling upon evidentiary questions, issuing subpoenas, disposing of procedural motions, preparing and issuing Initial Decisions. Performing substantially same functions of U.S. District Court judges in non-jury cases, with the exception that Initial Decisions rendered are automatically subject to review by the Commission.
- Upon instruction of Commission/Chairman, serving as liaison for the Commission and this Office in making appropriate arrangements for securing advice or information from representatives of other agencies, bar associations and interested persons in connection with hearing procedures.

- Preparing and maintaining hearing calendars, showing time and place of hearings.
- Preparing reports, statistical data and other information requested or required by the Office of Personnel Management, and other offices or agencies of the U.S. Government concerned with proper operation of the Office of Administrative Law Judges.
- Exercising such authority as may be assigned by the Commission pursuant to Section 5(c) of the Communications Act of 1934, as amended.

## Office of Communications Business Opportunities

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$1,375,025	\$1,393,297	\$1,150,906
<b>12-Benefits</b>		\$333,843	\$340,283	\$274,596
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$1,708,868</b>	<b>\$1,733,580</b>	<b>\$1,425,502</b>
<b>21-Travel</b>		\$23,477	\$34,000	\$34,380
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$67,706	\$71,886	\$73,510
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$865	\$501,000	\$0
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$92,048</b>	<b>\$606,886</b>	<b>\$107,890</b>
<b>TOTAL</b>		<b>\$1,800,916</b>	<b>\$2,340,466</b>	<b>\$1,533,392</b>

The Office of Communications Business Opportunities (OCBO), as a staff office to the Commission, develops, coordinates, evaluates, and recommends to the Commission policies, programs, and practices that promote participation by small entities, women, and minorities in the communications industry. A principal function of the Office is to lead, advise, and assist the Commission, including all of its component Bureau/Office managers, supervisors, and staff, at all levels, on ways to ensure that the competitive concerns of small entities, women, and minorities are fully considered by the agency in notice and comment rulemakings. In accordance with this function, the Office:

- Conducts independent analyses of the Commission's policies and practices to ensure that those policies and practices fully consider the interests of small entities, women, and minorities;
- Advises the Commission, Bureaus, and Offices of their responsibilities under the Congressional Review Act provisions regarding small businesses; the Report to Congress regarding Market Entry Barriers for Small Telecommunications Businesses (47 U.S.C. § 257); and the Telecommunications Development Fund (47 U.S.C. § 614).

The Office has the following duties and responsibilities:

- Serving, through its director, as the principal small business policy advisor to the Commission;
- Developing, implementing, and evaluating programs and policies that promote participation by small entities, women and minorities in the communications industry;
- Managing the Regulatory Flexibility Analysis process pursuant to the Regulatory Flexibility Act and the Small Business Regulatory Enforcement Fairness Act to ensure that small business interests are fully considered in agency actions;
- Developing and recommending Commission-wide goals and objectives for addressing the concerns of small entities, women, and minorities and reports of achievement;

- Acting as the principal channel for disseminating information regarding the Commission's activities and programs affecting small entities, women, and minorities;
- Developing, recommending, coordinating, and administering objectives, plans and programs to encourage participation by small entities, women, and minorities in the decision-making process;
- Promoting increased awareness within the Commission of the impact of policies on small entities, women, and minorities;
- Acting as the Commission's liaison to other federal agencies on matters relating to small business.

## Office of Engineering and Technology

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$9,720,052	\$10,261,665	\$10,501,615
<b>12-Benefits</b>		\$2,498,785	\$2,779,067	\$2,459,445
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$12,218,837</b>	<b>\$13,040,732</b>	<b>\$12,961,060</b>
<b>21-Travel</b>		\$19,557	\$29,043	\$25,208
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$444,094	\$441,930	\$452,037
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$226,363	\$711,281	\$195,527
<b>26-Supplies and Materials</b>		\$40,801	\$44,426	\$41,404
<b>31-Equipment</b>		\$27,986	\$66,177	\$592,900
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$758,801</b>	<b>\$1,292,857</b>	<b>\$1,307,075</b>
<b>TOTAL</b>		<b>\$12,977,638</b>	<b>\$14,333,589</b>	<b>\$14,268,135</b>

The Office of Engineering and Technology allocates spectrum for commercial, private and non-Federal governmental use and provides expert advice on technical issues before the Commission, including recommendations on technical standards for spectrum users. The Office also performs the following duties and responsibilities:

- Developing overall policies, objectives, and priorities for the Office of Engineering and Technology programs and activities; performing management functions; and supervising the execution of these policies.
- Advising and representing the Commission on frequency allocation and spectrum usage matters, including those covered by international agreements.
- Planning and directing broad programs for development of information relative to communication techniques and equipment, radio wave propagation, and new uses for communications, and advising the Commission and staff offices in such matters.
- Representing the Commission at various national and international conferences and meetings devoted to the progress of communications and the development of information and standards.
- Conducting engineering and technical studies in advanced phases of terrestrial and space communications, and special projects to obtain theoretical and experimental data on new or improved techniques, including cooperative studies with other staff units and consultant and contract efforts as appropriate.
- Advising the Commission and other Bureaus and Offices concerning spectrum management, emerging technologies, technical standards, international considerations and national security matters involved in making or implementing policy or in resolving specific situations involving these matters.
- Developing and implementing procedures to acquire, store, and retrieve scientific and technical information required in the engineering work of the Commission.

- Providing advice to the Commission, participating in and coordinating staff work with respect to general frequency allocation proceedings and other proceedings not within the jurisdiction of any single Bureau, and providing assistance and advice with respect to rulemaking matters and proceedings affecting more than one Bureau.
- Administering Parts 2, 5, 15, and 18, of the Commission's Rules and Regulations.
- Performing technical, engineering, and management functions of the Commission with respect to formulating rules and regulations, technical standards, and general policies for Parts 2, 5, 15 and 18, and for equipment authorization of radio equipment for compliance with all appropriate rules.
- Maintaining liaison with other agencies of government, technical experts representing foreign governments, and members of the public and industry concerned with communications and frequency allocation and usage.
- Coordinating frequency assignments for Commission licensees with Federal Government agencies, and representing the Commission on issues regarding use of spectrum when jurisdiction is shared with the Federal Government.
- Preparing recommendations for legislation, and reviewing recommendations for rule changes and rulemaking proposals initiated by other offices affecting Bureau programs and operations.

## Office of General Counsel

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$9,844,701	\$10,145,860	\$10,855,313
<b>12-Benefits</b>		\$2,531,410	\$2,633,236	\$2,566,907
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$12,376,111</b>	<b>\$12,779,096</b>	<b>\$13,422,220</b>
<b>21-Travel</b>		\$9,418	\$13,111	\$13,008
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$622,772	\$559,705	\$572,505
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$2,576	\$4,516	\$3,353
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$634,766</b>	<b>\$577,332</b>	<b>\$588,866</b>
<b>TOTAL</b>		<b>\$13,010,877</b>	<b>\$13,356,428</b>	<b>\$14,011,086</b>

As chief legal advisor to the Commission and its various components, the Office of General Counsel performs the following duties and responsibilities:

- Preparing and making recommendations and interpretations concerning procedural rules of general applicability.
- Reviewing all proposed Commission orders and rules for consistency with the Constitution, laws of the United States, and other rules and precedents.
- Representing the Commission in litigation matters.
- Ensuring consistent and timely public interest analysis of transactions considered by the Commission and providing technical expertise on various corporate, bankruptcy, fraud, and other transactional issues.
- Assisting and making recommendations to the Commission with respect to cases of adjudication (including the review of initial decisions by Administrative Law Judges) and such other cases as, by Commission policy, are handled in a similar manner and that have been designated for hearing.
- Advising and making recommendations to the Commission with respect to proposed legislation.
- Interpreting statutes, regulations, and international agreements affecting the Commission.
- Providing advice to the Commission and its components on general law issues (e.g., leases, contracts, debt collection, tort claims, fiscal law, and labor law) common to most federal agencies.

- Serving as principal advisor to the Commission in the administration of laws and regulations regarding government ethics, as well as the Freedom of Information, Privacy, Government in the Sunshine and Alternative Dispute Resolution Acts.
- Exercising such authority as may be assigned or referred to it by the Commission pursuant to section 5(c) of the Communications Act of 1934, as amended, as well as the Commission's rules.

## Office of Inspector General

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$3,209,133	\$4,206,645	\$5,452,687
<b>12-Benefits</b>		\$816,585	\$1,061,981	\$1,290,328
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$4,025,718</b>	<b>\$5,268,626</b>	<b>\$6,743,015</b>
<b>21-Travel</b>		\$56,518	\$102,653	\$95,197
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$276,032	\$361,968	\$350,709
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$1,287,588	\$3,966,753	\$1,552,563
<b>26-Supplies and Materials</b>		\$4,016	\$0	\$471
<b>31-Equipment</b>		\$44,066	\$50,000	\$8,384
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$1,668,220</b>	<b>\$4,481,374</b>	<b>\$2,007,323</b>
<b>TOTAL</b>		<b>\$5,693,938</b>	<b>\$9,750,000</b>	<b>\$8,750,338</b>

The Federal Communications Commission (FCC) Office of Inspector General (OIG) was established in compliance with the Inspector General Act of 1978 (Public Law 94-454), as amended. The OIG conducts and supervises audits and investigations relating to the programs and operations; provides leadership and coordination and recommends policies for activities designed to promote economy, efficiency, and effectiveness in the administration of, and to prevent and detect fraud and abuse in, such programs and operations; and to provide a means for keeping the Chairman and the Congress fully and currently informed about problems and deficiencies relating to the administration of such programs and operations and the necessity for and progress of corrective action. The Inspector General reports directly to the Chairman. Duties and responsibilities include:

- Providing policy direction for and to conduct, supervise, and coordinate audits and investigations relating to the programs and operations of such establishment.
- Reviewing existing and proposed legislation and regulations relating to programs and operations of such establishment and to make recommendations in the semiannual reports required by section 5(a) concerning the impact of such legislation or regulations on the economy and efficiency in the administration of programs and operations administered or financed by such establishment or the prevention and detection of fraud and abuse in such programs and operations.
- Recommending policies for, and conducting, supervising, or coordinating other activities carried out or financed by such establishment for the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud and abuse in, its programs and operations.

- Recommending policies for, and conducting, supervising, or coordinating relationships between such establishment and other Federal agencies, State and local governmental agencies, and nongovernmental entities with respect to (A) all matters relating to the promotion of economy and efficiency in the administration of, or the prevention and detection of fraud and abuse in, programs and operations administered or financed by such establishment, or (B) the identification and prosecution of participants in such fraud or abuse.
- Reporting expeditiously to the Attorney General whenever the Inspector General has reasonable grounds to believe there has been a violation of Federal criminal law.

## Office of Legislative Affairs

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$1,675,774	\$1,710,693	\$1,083,862
<b>12-Benefits</b>		\$458,610	\$471,272	\$257,654
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$2,134,384</b>	<b>\$2,181,965</b>	<b>\$1,341,516</b>
<b>21-Travel</b>		\$7,778	\$14,812	\$14,551
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$76,001	\$69,816	\$71,413
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$0	\$100	\$0
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$83,779</b>	<b>\$84,728</b>	<b>\$85,964</b>
<b>TOTAL</b>		<b>\$2,218,163</b>	<b>\$2,266,693</b>	<b>\$1,427,480</b>

The Office of Legislative Affairs informs the Congress of the Commission's decisions, facilitates responses to Congressional inquiries, and provides technical assistance to Congressional staff regarding proposed legislation. Specifically, the Office has the following functions:

- Advising and making recommendations to the Commission with respect to legislation proposed by Members of Congress or other government agencies and coordinating the preparation of Commission views for submission to Congress or other government agencies.
- Tracking and monitoring legislation impacting the Commission, providing technical assistance to Congressional staff, as necessary.
- Coordinating Commission and Bureau responses to formal inquiries by individual Members of Congress and committees, including tracking inquiries and setting response times.
- Assisting the staffs of Members of Congress in responding to constituent concerns.
- Assisting in the preparation for, and the coordination of, the Chairman's and Commissioners' appearances before Committees of Congress.
- Assisting the Office of Managing Director in the preparation of the Managing Director's annual report to Congress, as well as with the annual submission of the Commission budget.
- Coordinating the Commission's legislative program, obtaining Bureau and Office comments and drafting final legislative proposals.

## Office of the Managing Director

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$20,087,743	\$20,707,541	\$20,148,901
<b>12-Benefits</b>		\$4,646,774	\$4,736,294	\$4,070,644
<b>13-Benefits for Former Personnel</b>		\$27,832	\$27,832	\$28,843
<b>Subtotal, Personnel Costs</b>		<b>\$24,762,349</b>	<b>\$25,471,667</b>	<b>\$24,248,388</b>
<b>21-Travel</b>		\$208,253	\$325,680	\$239,764
<b>22-Transportation of Things</b>		\$63,141	\$64,200	\$112,211
<b>23-Rent and Communications</b>		\$33,232,541	\$32,994,981	\$32,379,659
<b>24-Printing and Reproduction</b>		\$870,821	\$989,500	\$1,012,177
<b>25-Other Contractual Services</b>		\$38,514,276	\$34,504,440	\$38,111,282
<b>26-Supplies and Materials</b>		\$1,258,761	\$1,351,567	\$1,446,568
<b>31-Equipment</b>		\$2,046,454	\$1,690,182	\$2,852,033
<b>42-Insurance Claims and Indemnities</b>		\$167,799	\$125,000	\$200
<b>Subtotal, Non-Personnel Costs</b>		<b>\$76,362,046</b>	<b>\$72,045,550</b>	<b>\$76,153,895</b>
<b>TOTAL</b>		<b>\$101,124,395</b>	<b>\$97,517,217</b>	<b>\$100,402,283</b>

The Managing Director is appointed by the Chairman with the approval of the Commission. Under the supervision and direction of the Chairman, the Managing Director serves as the Commission's chief operating official with the following duties and responsibilities:

- Providing managerial leadership to and exercising supervision and direction over the Commission's Bureaus and Offices with respect to management and administrative matters but no substantive regulatory matters such as regulatory policy and rulemaking, authorization of service, administration of sanctions, and adjudication.
- Formulating and administering all management and administrative policies, programs and directives for the Commission consistent with authority delegated by the Commission and the Chairman and recommending to the Chairman and the Commission major changes in such policies and programs.
- As the administrative head of the agency, assisting the Chairman in carrying out the administrative and executive responsibilities delegated to the Chairman.
- Advising the Chairman and the Commission on management, administrative and related matters; reviewing and evaluating the programs and procedures of the Commission; initiating action or making recommendations as may be necessary to administer the Communications Act most effectively in the public interest. Assessing the management, administrative and resource implications of any proposed action or decision to be taken by the Commission or by a Bureau or Office under delegated authority; recommending to the Chairman and the Commission program priorities, resource and position allocations, management and administrative policies.
- Directing agency efforts to improve management effectiveness, operational efficiency, employee productivity and service to the public. Administering Commission-wide management improvement programs.

- Planning and managing the administrative affairs of the Commission with respect to the functions of personnel and position management; labor-management relations; budget and financial management; information management and processing; organization planning; management analysis; procurement; office space management and utilization; administrative and office services; supply and property management; records management; personnel and physical security; and international telecommunications settlements.
- Serving as the principal operating official on ex parte matters involving restricted proceedings. Reviewing and disposing of all ex parte communications received from the public and others. In consultation with the General Counsel, approving waivers of the applicability of the conflict of interest statutes pursuant to 18 U.S.C. §§ 205 and 208, or initiating necessary actions where other resolutions of conflicts of interest are called for.

## Office of Media Relations

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$1,589,134	\$1,598,410	\$1,629,077
<b>12-Benefits</b>		\$440,354	\$446,808	\$413,325
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$2,029,488</b>	<b>\$2,045,218</b>	<b>\$2,042,402</b>
<b>21-Travel</b>		\$94	\$103	\$1,395
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$109,861	\$93,691	\$94,959
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$348,646	\$274,483	\$104,951
<b>26-Supplies and Materials</b>		\$11,523	\$14,793	\$15,596
<b>31-Equipment</b>		\$6,100	\$10,347	\$16,749
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$476,224</b>	<b>\$393,417</b>	<b>\$233,650</b>
<b>TOTAL</b>		<b>\$2,505,712</b>	<b>\$2,438,635</b>	<b>\$2,276,052</b>

The Office of Media Relations informs the news media of Commission decisions and serves as the Commission's main point of contact with the media. The Office of Media Relations has the following duties and responsibilities:

- Enhancing public understanding of and compliance with the Commission's regulatory requirements.
- Acting as the principal channel for communicating information to the news media on Commission policies, programs, and activities.
- Advising the Commission on information dissemination as it affects liaison with the media.
- Managing the FCC's Internet site and oversee the agency's Web standards and guidelines, including accessibility.
- Managing the audio and visual support services for the Commission.

## Office of Strategic Planning and Policy Analysis

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$3,169,953	\$3,346,294	\$4,608,434
<b>12-Benefits</b>		\$788,798	\$841,165	\$1,052,720
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$3,958,751</b>	<b>\$4,187,459</b>	<b>\$5,661,154</b>
<b>21-Travel</b>		\$34,477	\$97,423	\$23,441
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$379,941	\$148,988	\$152,396
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$0	\$100	\$0
<b>26-Supplies and Materials</b>		\$0	\$0	\$0
<b>31-Equipment</b>		\$200	\$0	\$309
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$414,618</b>	<b>\$246,511</b>	<b>\$176,145</b>
<b>TOTAL</b>		<b>\$4,373,369</b>	<b>\$4,433,970</b>	<b>\$5,837,299</b>

The Office of Strategic Planning and Policy Analysis (OSP) works with Bureaus and other Offices, including those of the Chairman and other Commissioners, to develop and implement communications policies in all areas of Commission authority and responsibility. Specifically, the Office performs functions including:

- Acting as home for the FCC's Chief Economist and Chief Technologist.
- Hosting Visiting Scholars from academia and elsewhere that join the FCC on a temporary basis to contribute to the Commission's mission.
- Coordinating the publication of the FCC White Paper series, a forum for staff to publish research aside from formal Commission actions.
- Working on high-priority issues at the request of the Chairman, Commissioners or Bureau/Office Chiefs.
- Leading outreach efforts to relevant stakeholders, e.g., within academia, think tanks, the business community, and the capital markets.
- Providing research and expertise on request to any member of the Commission as resources allow.

## Office of Workplace Diversity

	FTE	2011	2012	2013
		Actual	Enacted	Cong. Request
<b>11-Compensation</b>		\$591,163	\$594,289	\$436,750
<b>12-Benefits</b>		\$159,840	\$161,502	\$110,984
<b>13-Benefits for Former Personnel</b>		\$0	\$0	\$0
<b>Subtotal, Personnel Costs</b>		<b>\$751,003</b>	<b>\$755,791</b>	<b>\$547,734</b>
<b>21-Travel</b>		\$0	\$1,333	\$32
<b>22-Transportation of Things</b>		\$0	\$0	\$0
<b>23-Rent and Communications</b>		\$41,129	\$40,567	\$41,495
<b>24-Printing and Reproduction</b>		\$0	\$0	\$0
<b>25-Other Contractual Services</b>		\$19,602	\$28,190	\$28,889
<b>26-Supplies and Materials</b>		\$100	\$500	\$509
<b>31-Equipment</b>		\$0	\$0	\$0
<b>42-Insurance Claims and Indemnities</b>		\$0	\$0	\$0
<b>Subtotal, Non-Personnel Costs</b>		<b>\$60,831</b>	<b>\$70,590</b>	<b>\$70,925</b>
<b>TOTAL</b>		<b>\$811,834</b>	<b>\$826,381</b>	<b>\$618,659</b>

The Office of Workplace Diversity, as a staff office to the Commission, develops, coordinates, evaluates, and recommends to the Commission policies, programs, and practices that foster a diverse workforce and promotes and ensures equal opportunity for all employees and candidates for employment. A principal function of the Office is to lead, advise, and assist the Commission, including all of its component Bureau/Office managers, supervisors, and staff at all levels, on ways to promote inclusion and full participation of all employees in pursuit of the Commission's mission. In accordance with this principal function, the Office shall: (1) conduct independent analyses of the Commission's policies and practices to ensure that those policies and practices foster diversity in the workforce and ensure equal opportunity for employees and applicants; and (2) advise the Commission, Bureaus, and Offices of their responsibilities under: Title VII of the Civil Rights Act of 1964 as Amended; Section 501 of the Rehabilitation Act of 1973 as amended; Age Discrimination in Employment Act of 1967, as amended; Executive Order 11478; and all other statutes, Executive Orders, and regulatory provisions relating to workforce diversity, equal employment opportunity, nondiscrimination, and civil rights. The Office has the following duties and responsibilities:

- Serving, through its Director, as the principal advisor to the Chairman and Commission officials on all aspects of workforce diversity, organization, equal employment opportunity, nondiscrimination, and civil rights.
- Providing leadership and guidance to create a work environment that values and encourages diversity in the workforce.
- Developing, implementing, and evaluating programs and policies to foster a workforce whose diversity reflects the diverse makeup of the Nation, enhances the mission of the Commission, and demonstrates the value and effectiveness of a diverse workforce.
- Developing, implementing, and evaluating programs and policies that promote understanding among members of the Commission's workforce of their differences and the value of those

differences, and provides a channel for communication among diverse members of the workforce at all levels.

- Developing, implementing, and evaluating programs and policies to ensure that all members of the Commission's workforce and candidates for employment have equal access to opportunities for employment, career growth, training, and development and are protected from discrimination and harassment.
- Developing and recommending Commission-wide workforce diversity goals and reporting on achievements.
- Developing, implementing, and evaluating programs and policies to enable all Bureaus and Offices to manage a diverse workforce effectively and in compliance with all equal employment opportunity and civil rights requirements.
- Working closely with the Associate Managing Director - Human Resources Management to ensure compliance with Federal and Commission recruitment and staffing requirements.
- Managing the Commission's equal employment opportunity compliance program. Responsibilities in this area include processing complaints alleging discrimination, recommending to the Chairman final decisions on EEO complaints within the Commission, and providing consulting services to employees and applicants on EEO matters.
- Developing and administering the Commission's program of accessibility and accommodation for disabled persons in accordance with applicable regulations.
- Representing the Commission at meetings with other public and private groups and organizations on matters concerning workforce diversity and equal employment opportunity.
- Maintaining liaison with and solicits views of organizations within and outside the Commission on matters relating to equal opportunity and workforce diversity.



## **APPENDICES**



**FY 2013 Budget Estimates to Congress**  
**Summary of Requested Resources**  
 (\$ in Thousands)

**DISTRIBUTION OF BUDGET AUTHORITY:**

	<u>FY 2011 Actual</u>	<u>FY 2012 Enacted</u>	<u>FY 2013 Cong. Request</u>	<u>Change to Appropriated Budget Authority</u>
<b>Direct Appropriation</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Authority to Spend Offsetting Collections:</b>				
Regulatory Fees	335,794	339,844	346,782	6,938
<b>Appropriation Total:</b>	<b>\$335,794</b>	<b>\$339,844</b>	<b>\$346,782</b>	<b>6,938</b>
<b>Recission:</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>Authority to Spend</b>				
<b>Other Off-setting Collections:</b>				
1) Economy Act/Misc. Other	6,000	4,500	6,000	
2) Auctions Cost Recovery Reimbursements	85,000	85,000	85,000	
<b>Subtotal Other Offsetting Collections:</b>	<b>\$91,000</b>	<b>\$89,500</b>	<b>\$91,000</b>	
<b>Total Budget Authority - Available to incur obligations:</b>	<b>\$426,794</b>	<b>\$429,344</b>	<b>\$437,782</b>	
<b>Other Budget Authority</b>				
Credit Program Account 1/	\$6,721	\$3,787	\$3,787	
Universal Service Fund (USF) 2/	\$2,482	\$5,524	\$6,000	

1/ Credit Reform carryover amount.

2/The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2011, \$10.0M was obligated. The remaining \$11.5M has been carried forward, as follows. \$5.5M is estimated to be used in FY 2012, and \$6M will be used for future fiscal years.

**FY 2013 Budget Estimates to Congress**  
**Summary of Requested Resources**  
 (\$ in Thousands)

**DISTRIBUTION OF OBLIGATIONS:**

	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>	<b>Difference</b>
<b>Direct Appropriation</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Offsetting Collections - Obligations:</b>				
Regulatory Fees	\$332,162	\$339,844	\$346,782	\$6,938
<b>Subtotal - Obligations from Appropriated Funds: (Less Recission/Lapsed):</b>	<b>\$332,162</b>	<b>\$339,844</b>	<b>\$346,782</b>	<b>\$6,938</b>
<b>Obligations - Other Offsetting Collections</b>				
1) Economy Act/Misc. Other	4,097	4,500	6,000	
2) Auctions Cost Recovery Reimbursements	84,137	85,000	85,000	
<b>Subtotal Other Offsetting Collections:</b>	<b>\$88,234</b>	<b>\$89,500</b>	<b>\$91,000</b>	
<b>TOTAL OBLIGATIONS</b>	<b>420,396</b>	<b>429,344</b>	<b>437,782</b>	
<b>TOTAL OUTLAYS</b>				
<b>(Includes Direct &amp; All Offsetting Collections)</b>				
<b>Other Budget Authority:</b>				
Credit Program Account	\$2,408	\$3,787	\$3,787	
Universal Service Fund (USF) <sup>1/</sup>	\$2,482	\$5,524	\$6,000	

1/The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2011, \$10.0M was obligated. The remaining \$11.5M has been carried forward, as follows. \$5.5M is estimated to be used in FY 2012, and \$6M will be used for future fiscal years.

**FY 2013 Budget Estimates to Congress**  
**Summary of Requested Resources**  
 (\$ in Millions)

<b>OUTLAYS:</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
Outlays from new discretionary authority:	\$0	\$0	\$0
New Offsetting Collections:			
Regulatory Fees	\$330	\$338	\$344
Auctions Receipts	84	85	85
Interagency/Other	4	5	6
Homeland Security	2	2	2
Subtotal, Outlays from new discretionary authority	<u>\$420</u>	<u>\$430</u>	<u>\$437</u>
Outlays from prior year discretionary balances	0	0	0
<b>TOTAL OUTLAYS</b>	<b>\$420</b>	<b>\$430</b>	<b>\$437</b>

	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
<b>Total Compensable Workyears:</b>			
Full-Time Equivalent Employment (FTEs)	1,776	1,917	1,917
<b>Proposed Distribution:</b>			
Direct	0	0	0
Offsetting Collections <sup>1/</sup>	1,758	1,893	1,912
Auctions Credit Program Account	4	5	5
Universal Service Fund (USF) (Term)	<u>14</u>	<u>19</u>	<u>0</u>
<b>TOTAL FTE CEILING</b>	<b>1,776</b>	<b>1,917</b>	<b>1,917</b>

1/The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2011, \$10.0M was obligated. The remaining \$11.5M has been carried forward, as follows. \$5.5M is estimated to be used in FY 2012, and \$6M will be used for future fiscal years.

**FY 2013 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**REGULATORY FEES - CURRENT:**

<b>Object Class Description</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time Permanent (11.1)	\$184,495	\$191,187	\$195,824
Full-time Temporary (11.3)	1,427	1,478	1,514
Part-time (11.3)	2,918	3,024	3,097
Personnel Benefits (12.1)	47,193	49,165	45,480
Subtotal Personnel Comp. & Benefits	<u>\$236,032</u>	<u>\$244,854</u>	<u>\$245,916</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$28	\$28	\$28
Travel (21.0)	1,558	2,474	1,836
Transportation of Things (22.0)	131	100	126
GSA Rent (23.1)	38,412	36,168	38,133
Other Rents, Comm., Utilities (23.3)	6,970	8,394	6,074
Printing and Reproduction (24.0)	871	990	1,012
Contract Services - Non-Fed (25.2)	17,304	24,141	19,046
Fed. Purchase, Goods & Services (25.3)	3,572	2,478	3,319
Operation & Maint. of Equipment (25.7)	23,001	16,132	21,451
Supplies and Materials (26.0)	1,645	1,715	1,797
Equipment (31.0)	2,469	2,244	8,043
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	168	125	0
Subtotal Other Expenses	<u>\$96,130</u>	<u>\$94,990</u>	<u>\$100,866</u>
<b>Total Obligations from Regulatory Fees</b>	<b>\$332,162</b>	<b>\$339,844</b>	<b>\$346,782</b>
<b>Total Resources from Direct Appropriations</b>	<b>\$332,162</b>	<b>\$339,844</b>	<b>\$346,782</b>

**FY 2013 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**AUCTIONS COST RECOVERY REIMBURSABLE AUTHORITY:**

- The following table depicts the distribution of the actual resources for FY 2011, enacted for FY 2012, and estimated for FY 2013 obligations utilizing auctions cost recovery reimbursable authority.

<b>Object Class Description</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time Permanent (11.1)	\$23,944	\$24,338	\$24,336
Full-time Temporary (11.3)	19	6	19
Part-time (11.3)	215	229	218
Personnel Benefits (12.1)	6,162	5,960	5,960
Subtotal Personnel Comp. & Benefits	\$30,339	\$30,533	\$30,533
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$4	\$9	\$9
Travel (21.0)	248	275	275
Transportation of Things (22.0)	10	0	0
GSA Rent (23.1)	6,955	6,908	6,908
Other Rents, Comm., Utilities (23.3)	3,276	3,415	3,415
Printing and Reproduction (24.0)	129	43	43
Contract Services - Non-Fed (25.2)	8,495	7,602	7,602
Fed. Purchase, Goods & Services (25.3)	1,037	1,228	1,228
Operation & Maint. of Equipment (25.7)	31,885	31,909	31,909
Supplies and Materials (26.0)	218	431	431
Equipment (31.0)	1,534	2,647	2,647
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	7	0	0
Subtotal Other Expenses	\$53,798	\$54,467	\$54,467
<b>Total Auctions Cost Recovery Reimbursable Obligations:</b>	<b>\$84,137</b>	<b>\$85,000</b>	<b>\$85,000</b>

**FY 2013 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
 (\$ in thousands)

**GOVERNMENT/OTHER REIMBURSABLE AUTHORITY**

-- The following table depicts the Economy Act/Other Reimbursable actual resources for FY 2011, enacted for FY 2012 and estimated for FY 2013.

<b>Object Class Description</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time Permanent (11.1)	\$480	\$500	\$539
Full-time Temporary (11.3)	0	0	0
Part-time (11.3)	0	0	0
Personnel Benefits (12.1)	117	120	140
Subtotal Personnel Comp. & Benefits	<u>\$597</u>	<u>\$620</u>	<u>\$679</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	25	30	39
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	0	0
Other Rents, Comm., Utilities (23.3)	0	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	1,037	1,150	1,448
Fed. Purchase, Goods & Services (25.3)	205	250	213
Operation & Maint. of Equipment (25.7)	1,999	2,200	2,508
Supplies and Materials (26.0)	25	25	13
Equipment (31.0)	209	225	1,100
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$3,500</u>	<u>\$3,880</u>	<u>\$5,321</u>
<b>Total Government/Other Reimbursable Authority</b>	<b>\$4,097</b>	<b>\$4,500</b>	<b>\$6,000</b>

**FY 2013 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**CREDIT PROGRAM ACCOUNT:**

- The following table depicts the distribution of actual obligations from the Credit Program account for FY 2011, enacted for FY 2012 and estimated for FY 2013. These obligations are presented in separate schedules apart from the Salaries & Expenses account and funded from Permanent Indefinite Authority.

<b>Object Class Description</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time Permanent (11.1)	\$464	\$985	\$985
Full-time Temporary (11.3)	0	0	0
Part-time (11.3)	0	0	0
Personnel Benefits (12.1)	116	236	236
Subtotal Personnel Comp. & Benefits	<hr/> \$580	<hr/> \$1,221	<hr/> \$1,221
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	0	5	5
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	0	0	0
Other Rents, Comm., Utilities (23.3)	0	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	451	906	906
Fed. Purchase, Goods & Services (25.3)	1,372	1,566	1,566
Operation & Maint. of Equipment (25.7)	3	86	86
Supplies and Materials (26.0)	0	2	2
Equipment (31.0)	1	1	1
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	1	0	0
Subtotal Other Expenses	<hr/> \$1,828	<hr/> \$2,566	<hr/> \$2,566
<b>Total Credit Program</b>	<b>\$2,408</b>	<b>\$3,787</b>	<b>\$3,787</b>

**FY 2013 Budget Estimates to Congress**  
**SUMMARY TABLES**  
**DISTRIBUTION OF RESOURCES**  
(\$ in thousands)

**UNIVERSAL SERVICE FUND:**

- The following table depicts the distribution of obligations from the use of Universal Service Funds for FY 2011, estimated for FY 2012 and FY 2013. These obligations are presented in separate schedules apart from the Salaries & Expenses account and funded from amounts transferred from USF in FY 2008, as permitted in appropriations language that year. No new budget authority was enacted in FY 2012; carryover balances will be used for continued USF oversight by the Inspector General.

<b>Object Class Description</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 Cong. Request</b>
<b>Personnel Compensation &amp; Benefits:</b>			
Full-time Permanent (11.1)	\$0	\$0	\$0
Full-time Temporary (11.3)	1,641	2,336	1,250
Part-time (11.3)	0	0	0
Personnel Benefits (12.1)	454	778	450
Subtotal Personnel Comp. & Benefits	<u>\$2,095</u>	<u>\$3,114</u>	<u>\$1,700</u>
<b>Other Expenses:</b>			
Benefits for Former Personnel (13.0)	\$0	\$0	\$0
Travel (21.0)	37	120	140
Transportation of Things (22.0)	0	0	0
GSA Rent (23.1)	142	0	0
Other Rents, Comm., Utilities (23.3)	29	0	0
Printing and Reproduction (24.0)	0	0	0
Contract Services - Non-Fed (25.2)	148	2,105	4,000
Fed. Purchase, Goods & Services (25.3)	0	30	30
Operation & Maint. of Equipment (25.7)	25	0	0
Supplies and Materials (26.0)	3	6	6
Equipment (31.0)	3	80	80
Land and Structures (32.0)	0	0	0
Insurance Claims & Indemnities (42.0)	0	0	0
Subtotal Other Expenses	<u>\$387</u>	<u>\$2,341</u>	<u>\$4,256</u>
<b>Total Universal Service Program <sup>1/</sup></b>	<b>\$2,482</b>	<b>\$5,455</b>	<b>\$5,956</b>

- 1/ The Consolidated Appropriations Act, 2008 (P.L. 110-161) authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2011, \$10.0M was obligated. The remaining \$11.5M has been carried forward, as follows. \$5.5M is estimated to be used in FY 2012, and \$6M will be used for future fiscal years.

FY 2013 Budget Estimates to Congress  
Distribution of Resources by Goal

Goals:	Broadband	Consumers	Competition & Innovation	Continual Improvement	Public Safety	International	Resource Request		
Actual FY 2011 Resources by Goal <sup>1/</sup>	\$31,997,838	\$55,516,280	\$149,872,798	\$44,608,141	\$42,202,936	\$7,961,966	\$332,159,959		
Total 2012 Request by Goal <sup>1,2/</sup>	\$92,033,514	\$37,097,888	\$106,063,649	\$54,420,080	\$43,130,236	\$21,435,633	\$354,181,000		
Total 2012 Request by Goal Realignment	\$34,119,183	\$59,196,815	\$159,808,839	\$47,565,504	\$45,000,843	\$8,489,816	\$354,181,000		
One-Time Decreases:									
-Consolidated Licensing System & Data Center	0	0	0	(4,000,000)	0	0			
-IT Broadband Support	(1,720,000)	0	0	0	0	0	(4,000,000)		
-Connect America Fund - Commercial Data & Development	(3,500,000)	0	0	0	0	0	(1,720,000)		
-Broadband Data Improvement Act Survey	(1,000,000)	0	0	0	0	0	(3,500,000)		
-Consumer - Contractual Services - Broadband Speed Testing	(400,000)	0	0	0	0	0	(1,000,000)		
-Emergency Response Interoperability Center (ERIC)	0	0	0	0	0	0	(400,000)		
-Cyber Security Certification Program	0	0	0	0	0	0	(1,000,000)		
-Portable Direction Finding System	0	0	0	0	0	0	(500,000)		
-New Entrants Studies	0	0	(1,000,000)	0	0	0	(350,000)		
-Office of Inspector General	(1,685,374)	(561,798)	(1,123,696)	(1,123,796)	(561,898)	(561,898)	(1,000,000)		
Total One-Time Decreases	(\$8,305,374)	(\$561,798)	(\$2,123,696)	(\$5,123,796)	(\$2,411,898)	(\$561,898)	(\$19,088,460)		
Incremental Distribution:									
Salary & Non-Salary Decreases	(522,759)	(906,987)	(2,448,519)	(728,777)	(689,483)	(130,077)	(5,426,601)		
Increase to the Base to Support 19 OIG Term FTEs	788,776	262,925	525,850	525,850	262,925	262,925	2,629,252		
Increase to the Base to Purchase Radio Direction Finding Vehicle	0	0	0	0	1,100,000	0	1,100,000		
Increase to the Base to Office of Native Affairs and Policy	0	300,000	0	0	0	0	300,000		
Pay Raise & Fixed Cost Increases <sup>3/</sup>	239,527	415,579	1,121,905	333,924	315,919	59,601	2,486,455		
FY 2013 Current Service Level	\$36,319,352	\$58,706,534	\$156,884,380	\$42,572,705	\$43,578,306	\$8,120,368	\$356,181,645		
Requested Increases to Base Funding <sup>4/</sup> :									
-Agile Cloud Provisioning and Management	0	0	0	2,750,000	0	0	2,750,000		
-Data Center Consolidation	0	0	0	2,500,000	0	0	2,500,000		
-Cloud Security Enhancement	0	0	0	850,000	0	0	850,000		
-Direction Finding and Wireless Monitoring Equipment	0	0	0	0	2,500,000	0	2,500,000		
-Interoperability Assurance and Management	0	0	0	0	1,000,000	0	1,000,000		
-Technical Equipment for the FCC's Laboratory	0	0	500,000	0	0	0	500,000		
-Communications Industry Participation and Impact Study	0	0	500,000	0	0	0	500,000		
Estimated Base for FY 2013 Increases	\$26,319,352	\$58,706,534	\$157,884,380	\$48,672,715	\$47,073,306	\$8,120,368	\$346,781,645		
Promote:									
FY 2013 New Goals	Connect America	Maximize Benefits of Spectrum	Protect & Empower Consumers	Investment & America's Global Competition	Promote Competition	Public Safety & Homeland Security	Advance National Purpose	Operational Excellence	Total
Readjusted Goals New Proposed For FY 2013	\$18,423,546	\$5,263,870	58,706,534	15,788,438	110,519,066	\$2,631,935	\$26,319,352		
-Broadband									
-Consumers									
-Competition & Innovation									
-Continual Improvement									
-Public Safety & Homeland Security									
-International									
	\$18,423,546	\$22,139,877	\$58,706,534	\$23,908,805	\$110,519,066	\$42,370,476	\$34,208,811	\$36,504,529	\$346,781,645

1/ The distribution of FY 2011 resources by goal are based on FY 2010 - August 30, 2011 cost reports prorate.

2/ The estimated distribution of FY 2012 resources by goal are based on FY 2012 budget estimates to Congress, dated February 2011.

3/ Uncontrollable inflationary increases requested have been prorated across all goals based on FY 2012 adjusted percentages.

4/ Programmatic increases requested have been identified and distributed to the goal and/or goals for which the resources will provide enhanced capabilities in FY 2013.

**FY 2013 Budget Estimates to Congress**  
**SUMMARY OF INCREASES BY BUDGET OBJECT CLASS CODE**  
(\$ in thousands)

OC Description	Adjustment to Base Budget	Inflationary Increase	FY 2013 New Initiatives
<b>11.00 Compensation</b>			
-- CY 2013 Pay Raise for FY 2013		\$743	
-- Staffing Adjustment	(\$1,110)		0
<b>12.00 Benefits</b>			
-- Benefits associated with Pay Raise		170	
-- Worker Compensation		3	
-- Staffing Adjustment	(385)		0
<b>13.00 Benefits for Former Personnel</b>		1	
<b>21.00 Travel and Transportation of Persons</b>			
-- Domestic/International/Joint Board Travel	20	28	0
-- Leased, Passenger Vehicles	(57)	1	
<b>22.00 Transportation of Things</b>	(40)	2	
<b>23.00 Rents, Communications, Utilities</b>			
-- GSA Rent and Fees Increase: Portals I & II, and field offices	(1,351)	650	
-- Non-GSA Space Rent	54	26	
-- GSA and Non-GSA Telephones	(197)	56	
-- Mail Service--Postage	(28)	8	
-- GSA, Electric, Other Utilities	(60)	17	
-- Telecommunications Service-Non-GSA	(13)	3	
-- Other Equipment Rental/Copier Rental	(78)	22	
<b>24.00 Printing and Reproduction</b>	(63)	18	
<b>25.00 Other Contractual Services</b>			
-- Contract Services - Federal & Non-Federal	(3,114)	257	1,500
-- ADP Data Retrieval Services	721	37	
-- Training/Tuition/Fees; Gov't-wide training initiative	(50)	14	
-- Contract Purchases-Federal	(15)	4	
-- Interagency Contracts	(119)	48	
-- Field Office Buildings and Grounds; Space Repair	(15)	4	
-- Health Services	(6)	2	
-- Repair/Maintenance of Vehicles	(3)	1	
-- ADP Software/ADP Equip. Maintenance; ADP Service Contracts	(434)	277	5,600
-- Repair Office Equipment/Technical Equipment	(25)	2	
<b>26.00 Supplies and Materials</b>			
-- Field Fuel Supplies	13	2	
-- Periodicals & Subscriptions	(31)	9	
-- General Supplies and Materials	(142)	20	
<b>31.00 Equipment</b>			
-- Technical Equipment	662	11	3,000
-- ADP Equipment	(349)	23	500
-- ADP Software	(325)	17	0
-- Equipment	(9)	3	
-- Vehicle Purchase	400	8	
-- Other Equipment	(0)	0	
<b>32.00 Lands and Structures</b>			
<b>42.00 Insurance Claims and Indemnities</b>			
<b>TOTAL</b>	(\$6,149)	\$2,486	\$10,600
<b>TOTAL INCREASE/DECREASE</b>		\$6,938	

**FY 2013 Budget Estimates to Congress**  
**LOCATION OF OBLIGATIONS BY OBJECT CLASS CODE**  
(\$ in thousands)

OBJECT CLASS CODE	FY 2011 Actual	FY 2012 Enacted	FY 2013 Base	Adjustments		Programmatic Changes (+/-)	FY 2013 Total Request
				To Establish	FY 2013 Base		
11 Personnel Compensation	\$188,839	\$195,689	\$200,435	\$4,746	\$45,480	\$0	\$200,435
12 Personnel Benefits	\$47,193	\$49,165	(3,685)			0	45,480
13 Benefits for Former Personnel	\$28	\$28	1	28		0	28
21 Travel & Trans. of Persons	\$1,558	\$2,474	(638)			0	1,836
22 Transportation of Things	\$131	\$100	25	126		0	126
23.1 GSA Rent	\$38,412	\$36,168	1,905	38,133		0	38,133
23.3 Other Rents, Communications, Utilities	\$6,970	\$8,394	(2,321)	6,074		0	6,074
24 Printing	\$871	\$990	23	1,012		0	1,012
25.2 Other Services	\$17,304	\$24,141	(6,595)	17,546		0	19,046
25.3 Fed. Purchase, Goods & Services	\$3,572	\$2,478	840	3,319		0	3,319
25.7 Op/Maint. of Equip./Software/ Info Sys	\$23,001	\$16,132	(280)	15,851		5,600	21,451
26 Supplies & Materials	\$1,645	\$1,715	83	1,797		0	1,797
31 Equipment/Software	\$2,469	\$2,244	2,299	4,543		3,500	8,043
32 Land, Buildings, Structures	\$0	\$0	0	0		0	0
42 Insur. Claims & Indemnities	\$168	\$125	(125)	0		0	0
<b>SUB TOTAL APPROPRIATION AUTHORITY</b>							
Reimbursables - Gov't/Other	\$332,162	\$339,844	(\$3,662)	\$336,183		\$10,600	\$346,782
Auctions Cost Recovery-Reimbursement	4,097	4,500	0	4,500		1,500	6,000
<b>TOTAL REQUEST</b>	<b>\$420,396</b>	<b>85,000</b>	<b>(\$429,344)</b>	<b>85,000</b>		<b>0</b>	<b>85,000</b>
<b>OTHER BUDGET AUTHORITY</b>							
Credit Program Account	\$2,408	\$3,787					\$3,787
Universal Service Fund (USF)	\$2,482 1/	\$5,455 1/					\$5,956 1/

<sup>1/</sup>The Consolidated Appropriations Act, 2008 (P.L. 110-161) language authorizes use of \$21.5M to be used by the Office of the Inspector General for USF Audit Support. In FY 2008 - FY 2011, \$10.0M was obligated. The remainder \$11.5M has been carried forward, \$5.5M is estimated to be used in FY 2012, and \$6M will be used for future fiscal years.

**PRO RATA ALLOCATION OF OBLIGATIONS BY OBJECT CLASS CODE**  
**FY 2013 Budget Estimates to Congress**  
(\$ in thousands)

OBJECT CLASS CODE	FY 2012 Funding Source			FY 2013 Funding Source		
	Direct Authority	+ Collections	= Total OC Allocation	Direct Authority	+ Collections	= Total OC Allocation
11 Personnel Compensation	\$0	195,689	\$195,689	\$0	\$200,435	\$200,435
12 Personnel Benefits	0	49,165	49,165	0	45,480	45,480
13 Benefits for Former Personnel	0	28	28	0	28	28
21 Travel & Trans. of Persons	0	2,474	2,474	0	1,836	1,836
22 Transportation of Things	0	100	100	0	126	126
23.1 GSA Rent	0	36,168	36,168	0	38,133	38,133
23.3 Other Rents, Communications, Utilities	0	8,394	8,394	0	6,074	6,074
24 Printing	0	990	990	0	1,012	1,012
25.2 Other Services	0	24,141	24,141	0	19,046	19,046
25.3 Fed. Purchases, Goods & Services	0	2,478	2,478	0	3,319	3,319
25.7 Op/Maint. of Equip./Software/Info Sys	0	16,132	16,132	0	21,451	21,451
26 Supplies & Materials	0	1,715	1,715	0	1,797	1,797
31 Equipment/Software	0	2,244	2,244	0	8,043	8,043
32 Land, Buildings, Structures	0	0	0	0	0	0
42 Insur. Claims & Indemnities	0	125	125	0	0	0
Appropriation-Direct B/A	\$0	\$0	\$0	\$0	\$0	\$0
Appropriation-Offsetting Collections Reg. Fees B/A:	0	339,844	339,844	0	346,782	346,782
Subtotal-B/A in Language	\$0	\$339,844	\$339,844	\$0	\$346,782	\$346,782
Reimbursable Program - Gov't/Other (Fst.)	4,500	4,500	4,500	6,000	6,000	6,000
Auctions Cost Recovery-Reimbursement	85,000	85,000	85,000	85,000	85,000	85,000
<b>Total Obligations</b>				<b>\$429,344</b>		<b>\$437,782</b>
<b>OTHER BUDGET AUTHORITY</b>						
Credit Program Account					\$3,787	\$3,787
Universal Service Fund (USF)					\$5,455	\$5,956

## **EXHIBITS AND REPORTS**



## UNIVERSAL SERVICE FUND

Under the Telecommunications Act of 1996, telecommunications carriers that provide interstate and international telecommunications services are required to contribute funds for the preservation and advancement of universal service. The contributions generally provided, in turn, by each carrier's subscribers, are used to provide services eligible for universal service support as prescribed by the FCC. Eligible telecommunications carriers receive support from the universal service funds if they (1) provide service to high cost areas, (2) provide eligible services at a discount rate to schools, libraries or rural health care providers, or (3) provide subsidized service or subsidized telephone installation to low income consumers. Interest income on these funds is utilized to offset carrier contributions. Administrative costs of the program are provided from carrier contributions.

Public Law 111-117 temporarily suspended the application of the Antideficiency Act to the Federal universal service fund programs authorized under section 254 of the Communications Act of 1934, through December 31, 2010. The Antideficiency Act requires that funds be available before incurring an obligation on behalf of the Federal Government. As a result of the Program Assessment Rating Tool analyses of the USF programs, the FCC is examining program policies, performance measures, and administrative effectiveness in order to ensure that the programs use resources efficiently and provide meaningful results.

<b>Program and Financing (in millions of dollars)</b>			
	2011 Actual	2012 Est.	2013 Est.
<b>Obligations by Program Activity:</b>			
0001 Universal service fund	\$9,554	\$10,575	\$10,370
0002 Program support	\$103	\$134	\$141
0900 Total new obligations (object class 41.0)	<u>\$9,657</u>	<u>\$10,709</u>	<u>\$10,511</u>
<b>Budgetary Resources:</b>			
1000 Unobligated balance brought forward, Oct 1	\$2,522	\$2,685	\$2,842
1021 Recoveries of prior year unpaid obligations	\$1,056	\$1,466	\$568
1050 Unobligated balance (total)	<u>\$3,578</u>	<u>\$4,151</u>	<u>\$3,410</u>
<b>Budget authority:</b>			
Mandatory:			
1201.1 Appropriation (special fund)--Receipts	\$8,722	\$9,368	\$9,655
1201.2 Appropriation (special fund)--Interest	\$23	\$32	\$38
1260 Appropriations, mandatory (total)	<u>\$8,745</u>	<u>\$9,400</u>	<u>\$9,693</u>
<b>Spending authority from offsetting collections, mandatory:</b>			
1850 Collected Total	\$19	\$0	\$0
1900 Budget authority (total)	\$8,764	\$9,400	\$9,693
1930 Total budgetary resources available	\$12,342	\$13,551	\$13,103
1941 Unexpired unobligated balance, end of year	\$2,685	\$2,842	\$2,592
<b>Change in obligated balance:</b>			
3000 Unpaid obligations, brought forward, Oct 1	\$3,651	\$3,335	\$3,191
3030 Obligations incurred, unexpired accounts	\$9,657	\$10,709	\$10,511
3040 Total Outlays (gross)	(\$8,917)	(\$9,387)	(\$9,651)
3080 Recoveries of prior year unpaid obligations, unexpired	(\$1,056)	(\$1,466)	(\$568)
3100 Unpaid Obligated balance, end of year (net)	<u>\$3,335</u>	<u>\$3,191</u>	<u>\$3,483</u>
<b>Budget authority and outlays, net:</b>			
4090 Budget authority, gross	\$8,764	\$9,400	\$9,693
Outlays, gross:			
4100 Outlays from new mandatory authority	\$5,924	\$6,040	\$6,231
4101 Outlays from mandatory balances	\$2,993	\$3,347	\$3,420
4110 Outlays, gross (total)	<u>\$8,917</u>	<u>\$9,387</u>	<u>\$9,651</u>
<b>Offsets against gross budget authority and outlays:</b>			
4123 Offsetting collections from Non-Federal sources	(\$19)	\$0	\$0
4160 Budget authority, net (mandatory)	\$8,745	\$9,400	\$9,693
4170 Total Outlays (net)	\$8,898	\$9,387	\$9,651
<b>Memorandum (non-add) entries:</b>			
5000 Total investments, SOY: Federal securities: Par value	\$6,081	\$5,815	\$5,815
5001 Total investments, EOY: Federal securities: Par value	\$5,815	\$5,815	\$5,815

## SPECTRUM AUCTION DIRECT LOAN FINANCING ACCOUNT

This program provided direct loans for the purpose of purchasing spectrum licenses at the Federal Communications Commission's auctions. The Licenses were purchased on an installment basis, which constitutes an extension of credit. The first year of activity for this program was 1996.

As required by the Federal Credit Reform Act of 1990, this non-budgetary account records all cash flows to and from the Government resulting from direct loans obligated in 1992 and beyond (including modifications of direct loans that resulted from obligations in any year). The amounts in this account are a means of financing and are not included in the budget totals.

<b>Program and Financing (in millions of dollars)</b>				
	2011 Actual	2012 Est.	2013 Est.	
<b>Obligations by program Actuality:</b>				
705 Reestimates of direct loan subsidy	\$12	\$3		
706 Interest on reestimates of direct loan subsidy	\$29	\$15		
709 Administrative expenses	\$2	\$4	\$4	
900 Total new obligations	<u>\$43</u>	<u>\$22</u>	<u>\$4</u>	
<b>Budgetary Resources available for obligation:</b>				
1000 Unobligated balance brought forward, Oct 1	\$7	\$4	\$0	
<b>Budget authority:</b>				
1200 Appropriations, mandatory:	\$40	\$18	\$4	
1260 Appropriations, mandatory (total)	\$40	\$18	\$4	
1930 Total budgetary resources available	<u>\$47</u>	<u>\$22</u>	<u>\$4</u>	
<b>Memorandum (non-add) entries:</b>				
1941 Unexpired unobligated balance, end of year	\$4	\$0	\$0	
<b>Change in obligated balance:</b>				
3000 Unpaid obligations, brought forward, Oct 1 (gross)	\$4	\$2	\$2	
3030 Obligations incurred, unexpired accounts	\$43	\$22	\$4	
3040 Outlays (gross)	(\$45)	(\$22)	(\$4)	
3090 Unpaid obligations, end of year (gross)	\$2	\$2	\$2	
3100 Obligated balance, end of year (net)	<u>\$2</u>	<u>\$2</u>	<u>\$2</u>	
<b>Budget authority and outlays, net:</b>				
4090 Budget authority, gross	\$40	\$18	\$4	
<b>Outlays, gross:</b>				
4100 Outlays from new mandatory authority	\$0	\$18	\$4	
4101 Outlays from mandatory balances	\$45	\$4	\$0	
4110 Outlays, gross (total)	<u>\$45</u>	<u>\$22</u>	<u>\$4</u>	
4160 Budget authority, net (mandatory)	\$40	\$18	\$4	
4170 Outlays, net (mandatory)	\$45	\$22	\$4	
4180 Budget authority, net (total)	\$40	\$18	\$4	
4190 Outlays, net (total)	<u>\$45</u>	<u>\$22</u>	<u>\$4</u>	

**Summary of Loan levels, Subsidy Budget Authority and Outlays by Program (in millions of dollars)**

	<b>2011 Actual</b>	<b>2012 Est.</b>	<b>2013 Est.</b>
<b>Direct loan upward reestimates:</b>			
1350 Spectrum Auction [27-4133]	\$41	\$18	\$0
1359 Total upward reestimate budget authority	\$41	\$18	\$0
<b>Administrative expense data:</b>			
3510 Budget authority	\$4	\$1	\$1
3590 Outlays from new authority	\$4	\$1	\$1
<b>Object Classification (in millions of dollars)</b>			
	<b>2011 Actual</b>	<b>2012 Est.</b>	<b>2013 Est.</b>
1111 Personnel compensation: Full-time permanent	\$1	\$1	\$1
1252 Other services from non-Federal sources	\$1	\$1	\$1
1253 Other goods and services from Federal sources	\$1	\$2	\$2
1410 Grants, subsidies, and contributions	\$40	\$18	\$0
9999 Total new obligations	<hr/> \$43	<hr/> \$22	<hr/> \$4

### SPECTRUM AUCTION DIRECT LOAN FINANCING ACCOUNT

As required by the Federal Credit Reform Act of 1990, this non-budgetary account records all cash flows to and from the Government resulting from direct loans obligated in 1992 and beyond (including modifications of direct loans that resulted from obligations in any year). The amounts in this account are a means of financing and are not included in the budget totals.

<b>Program and Financing (in millions of dollars)</b>			
	<b>2011 Actual</b>	<b>2012 Est.</b>	<b>2013 Est.</b>
<b>Obligation by program activity:</b>			
<b>Credit program obligations:</b>			
0713 Payment of interest to Treasury	\$8	\$7	\$7
0900 Total new obligations	<hr/> \$8	<hr/> \$7	<hr/> \$7
<b>Budgetary resources:</b>			
<b>Unobligated balance:</b>			
1000 Unobligated balance carried forward, start of year	\$4	\$36	\$36
1023 Unobligated balance applied to repay debt	0	0	0
1050 Unobligated balance (total)	<hr/> \$4	<hr/> \$36	<hr/> \$36
<b>Financing authority :</b>			
<b>Borrowing authority, mandatory:</b>			
1400 Borrowing authority	\$50	\$7	\$7
1421 Borrowing authority applied to repay debt	(\$48)	\$0	\$0
1440 Borrowing authority, mandatory (total)	<hr/> \$2	<hr/> \$7	<hr/> \$7
<b>Spending authority from offsetting collections, mandatory:</b>			
1800 Offsetting collections	\$78	\$18	\$0
1825 Spending authority from offsetting collections applied to repay debt	(40)	(18)	0
1850 Spending authority from offsetting collections, mandatory:	\$38	\$0	\$0
1900 Financing authority (total)	<hr/> \$40	<hr/> \$7	<hr/> \$7
1930 Total budgetary resources available	<hr/> \$44	<hr/> \$43	<hr/> \$43
<b>Memorandum (non-add) entries:</b>			
1941 Unexpursed unobligated balance, end of year	\$36	\$36	\$36
<b>Change in obligated balances:</b>			
3020 Obligated balance, start of year (net)	\$0	\$0	\$0
3030 Obligation incurred, unexpired accounts	8	7	7
3040 Financing disbursements (gross)	(8)	(7)	(7)

**RESPONSES TO CONGRESSIONAL INQUIRIES  
CONCERNING GAO RECOMMENDATIONS**



## **FCC Responses to Congress Concerning Recommendations from GAO**

Pursuant to 31 USC § 720, attached are letters the FCC sent to the Senate Committee on Homeland Security and Governmental Affairs and the House Committee on Oversight and Government Reform during the time since it submitted its last budget to Congress. These letters address the steps that the FCC is taking or has taken to address recommendations made to the FCC in reports issued by the Government Accountability Office during the time since the FCC submitted its last budget. A copy of each letter was sent to the Chairs and Ranking Members of both Committees. To reduce reprinting, only the copies sent to the Chair of the Senate Homeland Security and Governmental Affairs Committee are attached. Below is a list of the reports for which letters are attached. The reports are listed in chronological order by the date of the letters to Congress.

- Children's Television Act: FCC Could Improve Efforts to Oversee Enforcement and Provide Public Information, GAO-11-659 (Letter sent July 14, 2011)
- Enhanced Data Collection and Analysis Could Inform FCC's Efforts to Complete the Digital Transition of Low-Power Television Stations, GAO -11-790 (Letter sent September 7, 2011)



FEDERAL COMMUNICATIONS COMMISSION

September 13, 2011

JULIUS GENACHOWSKI  
CHAIRMAN

The Honorable Joseph I. Lieberman  
Chairman  
Committee on Homeland Security and Governmental Affairs  
United States Senate  
340 Dirksen Senate Office Building  
Washington, D.C. 20510

Dear Chairman Lieberman:

On July 14, 2011, the Government Accountability Office (GAO) issued a report entitled *Children's Television Act: FCC Could Improve Efforts to Oversee Enforcement and Provide Public Information*. The report's "recommendations for executive action," focused on improving enforcement of the commercial limits requirements during children's programming provided by cable and satellite providers, the quality of informational and educational programming and the availability of core programming information to the public. Specifically, the GAO recommended:

- (1) Improving enforcement of the act and the related rules, by developing and implementing a strategy for overseeing cable operators' and satellite providers' compliance with the required advertising limits;
- (2) Better ensuring that core children's programming meets the educational and informational needs of children by collaborating with the media industry to explore the potential for voluntary guidelines or standards to be used in creating and assessing core children's programming; and
- (3) Better informing parents about core children's programming and how it is designated as such by coordinating with broadcasters, associations, parents, and other stakeholders to: (a) identify additional mechanisms—such as the recently launched 'Parents' Place Web site—for educating the public about core children's programming on commercial broadcast television stations and assisting parents in making well-informed decisions about their use of core children's programming; (b) implement these mechanisms; and (c) measure and assess the effectiveness of these mechanisms.

The Commission has reviewed the findings of the GAO Report carefully and commenced initiatives to address the recommendations. As to the first recommendation, regarding compliance with the advertising limits, the Enforcement Bureau initiated a review of cable operators' and satellite providers' compliance with the children's programming rules prior to issuance of the GAO Report. Personnel from FCC headquarters and field offices examined

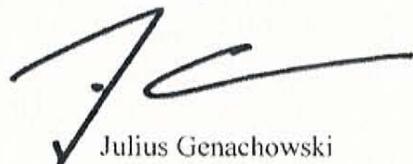
blocks of programming from several children's programming networks on numerous cable and satellite systems serving a sample of communities nationwide. They focused on programming aimed at children 12 and under for compliance with commercial limits, as well as prohibitions on host selling, program-length commercials, and the display of commercial website Internet addresses. Enforcement Bureau field agents also inspected the public files of over two dozen cable and satellite systems to assess compliance with relevant recordkeeping requirements. The Enforcement Bureau is evaluating the results of this project and will take further action as appropriate to ensure compliance with the Commission's rules.

Regarding the second recommendation, that the Commission explore the potential for voluntary guidelines to assess core children's programming, we have asked the Commission's Consumer Advisory Committee (CAC) to consider this issue. The CAC is composed of representatives from public interest groups and media-related organizations. The CAC is scheduled to meet before the end of the month.

Finally, as to the third recommendation, the Commission is in the process of improving and expanding its outreach to the community, in order to help parents better understand the placement and availability of core children's educational programming. To this end, the Commission has revised and continues to improve its web site, in order to provide consumer friendly access to broadcast stations' children's television programming reports and related information. As part of this effort, the Commission has reassessed the Parents page and its ability to attract and convey helpful information. Further, the Commission will shortly issue a "back to school" consumer alert to parents and educational groups. This alert will remind these groups that broadcast television stations must air programming that serves the educational and informational needs of children 16 years of age and younger, must be identified by the E/I symbol, and that the educational and informational programs aired by local stations can be found by using a zip code at the Parents section of the FCC web site. The FCC will assess the effectiveness of this alert by measuring the increase in visits to the Parents section following its distribution.

The Commission and its staff appreciate GAO's analysis and recommendations, and are on the way to implementing them. I look forward to working with GAO and Congress to continue to improve FCC implementation of the Children's Television Act, as well as its related outreach efforts to insure that the public benefits from the Act's important goals. Should you have any comments or questions, I would be pleased to discuss them with you.

Sincerely,



Julius Genachowski



## FEDERAL COMMUNICATIONS COMMISSION

November 7, 2011

JULIUS GENACHOWSKI  
CHAIRMAN

The Honorable Joseph I. Lieberman  
Chairman  
Committee on Homeland Security and Governmental Affairs  
United States Senate  
340 Dirksen Senate Office Building  
Washington, D.C. 20510

Dear Chairman Lieberman:

On September 7, 2011, the Government Accountability Office (GAO) issued a report entitled "Enhanced Data Collection and Analysis Could Inform FCC's Efforts to Complete the Digital Transition of Low-Power Television Stations and Reallocate Spectrum." The Report recommends that the Federal Communications Commission (FCC) take two primary actions:

- (1) Explore options, including the use of existing and new data, to assess how Class A, TV translator, and low power television stations have affected the communities they serve and have contributed to the agency's policy goals of localism and diversity.
- (2) Working with Congress as necessary, determine what the long-term role of Class A stations should be, whether additional low-power television stations should be permitted to apply for Class A status, and what criteria stations must meet to qualify for such status.

As discussed below, the FCC has carefully reviewed the findings and recommendations of the GAO Report and has commenced initiatives to address the recommendations. Before elaborating on these initiatives, however, I note that, as detailed in the National Broadband Plan, the FCC's spectrum priorities have been updated to reflect changing demands on our limited spectrum supply. Specifically, to further our ongoing commitment to address America's growing demand for wireless broadband services, the FCC has begun seeking ways to spur spectrum innovation and methods to repurpose television spectrum for flexible use by fixed and mobile wireless communications services including through the use of voluntary channel sharing and Congressionally-approved incentive auctions. In conjunction with that effort, the FCC is examining the continued role of low power television stations in providing over-the-air service to rural and underserved communities, and considering whether such stations should participate in channel sharing and incentive auctions initiatives, as recommended in the GAO Report. The FCC continues to provide technical advice and support to Congress for legislative initiatives on these matters.

In addition, the FCC has commenced an inquiry to ascertain Class A television stations' responsiveness to community needs. For the first part of the review, we are analyzing Class A licensees' children's programming reports, considering in particular the stations' responsiveness

Page 2—The Honorable Joseph I. Lieberman

to the informational and educational needs of children 16 years of age and younger. We have sent approximately 115 Class A licensees inquiries questioning their compliance with the children's television programming guidelines.

Further, as to the Report's suggestion that we collect data related to the responsiveness of low power television stations to localism and diversity, we will ask the Federal Advisory Committee on Diversity in Communications in the Digital Age to address this issue. That Committee's mission is to provide recommendations to the FCC regarding policies and practices that will further enhance diverse participation in the telecommunications industry and to gather the data and information necessary to formulate these recommendations. The Diversity Federal Advisory Committee is scheduled to meet on December 6, 2011.

The FCC and its staff appreciate GAO's analysis and recommendations, and are on the way to implementing them. I look forward to working with GAO and Congress to continue improving FCC oversight of the low power television services, as well as its related outreach efforts, in order to insure that the public benefits from the Commission's important localism and diversity goals. Should you have any comments or questions, I would be pleased to discuss them with you.

Sincerely,

  
Julius Genachowski

cc: The Honorable Henry A. Waxman  
The Honorable Anna G. Eshoo